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ACQUISITION RESEARCH SPONSORED REPORT SERIES

An Empirical Study of the Social Network of the Contracting Officer's Representative

8 November 2012

by

Captain Jonathan W. Judy, U.S. Army

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AN EMPERICAL STUDY OF THE SOCIAL NETWORK OF THE CONTRACTING OFFICER'S REPRESENTATIVE

ABSTRACT

The overall purpose of this study is to conduct an in-depth analysis of the influence that the social network of the contracting officer's representatives (CORs) has on service contract oversight. The specific objective of this research project is to build on the understanding of the acquisition of services developed in prior research projects while focusing on an area neglected during these studies, the COR. In this study, a total of three social networks, spread across two military installations, were examined. Additionally, data was collected from interviews with members of each social network. This study serves as a pilot for future research to be conducted on CORs and their social networks. The findings of this research suggest that a relationship exists between certain attributes of the CORs' social networks and their surveillance of the contractor and the service contract. This study also provides some recommendations for procurement contracting officers (PCOs) to consider when they select an individual to serve as a COR for a service contract.

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ABOUT THE AUTHOR

CPT Jonathan Judy was born and raised in Cumberland, Maryland, before moving to Alpharetta, Georgia, in 1996. He attended the University of Georgia in Athens, Georgia, where he earned a Bachelor of Science in computer science. On May 8, 2004, he was commissioned as a Signal Officer with a branch detail in Armor. CPT Judy's military education consists of Airborne School, Armor Officer Basic Course, Scout Leaders Course, Signal Captain's Career Course, and Recruiting Company Commanders Course.

CPT Judy's first assignment was to the 1st Squadron, 10th Calvary regiment in Fort Hood, Texas, as a scout platoon leader. He was later assigned to the 2nd Special Troops Battalion where he served as the assistant S-3 and HHC Executive Officer during Operation Iraqi Freedom from 2005 to 2007. After his deployment to Iraq, he attended the Signal Captain's Career Course at Fort Gordon, Georgia. Upon graduating the Career Course, he was assigned to the 5th Battalion, 101st Combat Aviation Brigade in Fort Campbell, Kentucky, where he served as the Battalion S-6 during Operation Enduring Freedom IX. After his deployment to Afghanistan, he attended the Recruiting Company Commanders Course in Fort Jackson, South Carolina, before being assigned to the Tampa Recruiting Battalion. CPT Judy has served as the commander of the Daytona Beach Recruiting Company for the last two years, during which the company has made its mission for fiscal years 2009 and 2010, enlisting well over 1,100 Soldiers into the Unites States Army.

CPT Judy's awards and decorations include the Bronze Star Medal, Meritorious Service Medal, Army Commendation Medal, Joint Meritorious Unit Award, Army Meritorious Unit Commendation, National Defense Service Medal, Afghanistan Campaign Medal, Iraq Campaign Medal, Global War on Terrorism Service Medal, Army Service Ribbon, Overseas Service Ribbon (with 2 device), NATO Medal, and the Parachutist Badge.

CPT Judy is married to Melissa Judy.

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LIST OF ACRONYMS AND ABBREVIATIONS

AGE   Aerospace Ground Equipment

BMT   Basic Military Training

BRAC   Base Realignment and Closure

CLIN   Contract Line Item Number

COR   Contracting Officer's Representative

COTR   Contracting Officer's Technical Representative

CSIS   Center for Strategic and International Studies

DAU   Defense Acquisition University

DFARS   Defense Federal Acquisition Regulation Supplemental

DLIFLC   Defense Language Institute Foreign Language Center

DoD   Department of Defense

DoDIG   Department of Defense Inspector General

DSB   Defense Science Board

FAR   Federal Acquisition Regulation

FBO   FedBizOpps

FPDS   Federal Procurement Data System

FY   Fiscal Year

GAO   General Accounting Office (before July 7, 2004)
                 Government Accountability Office (beginning July 7, 2004)

JBSA   Joint Base San Antonio

MOS   Military Occupation Specialty

MRE   Meals Ready to Eat

MSPB	Merit Systems Protection Board
NAISC	North American Industry Classification System
OFPP	Office of Federal Procurement Policy
PBSA	Performance-Based Service Acquisition
PCF	Paperless Contracting Files
PCO	Procurement Contracting Officer
PGI	Procedures, Guidance, and Information
POM	Presidio of Monterey
PRS	Performance Requirement Summary
PWS	Performance Work Statement
QAE	Quality Assurance Evaluator
QAP	Quality Assurance Personnel
QASP	Quality Assurance Surveillance Plan
RFP	Request for Proposal
SE	Support Equipment
SOW	Statement of Work
TOM	Task Order Manager

INTRODUCTION

A.   BACKGROUND

Supplies and services procured by the Department of Defense (DoD) continue to increase in scope and size. Recently, the DoD has seen a drastic increase in contracting for services. Contracts for services are a vital part of military operations. The reduction of military personnel in the 1990s, coupled with an increase in combat operations in the 2000s, has resulted in the expansion of services contracting to more than $200 billion, which is over 50% of the DoD acquisition budget (Defense Science Board [DSB], 2011). According to a report from the Center for Strategic and International Studies (CSIS), between 2001 and 2010, DoD dollars obligated to contract awards have more than doubled, and contract spending outpaced growth in other outlays (Ellman, Livergood, Morrow, & Sanders, 2011). The fastest growing contract spending category is services, which experienced a compound annual growth rate of 9.4%. Figure 1 illustrates the increase in contract spending from 1990 to 2010.
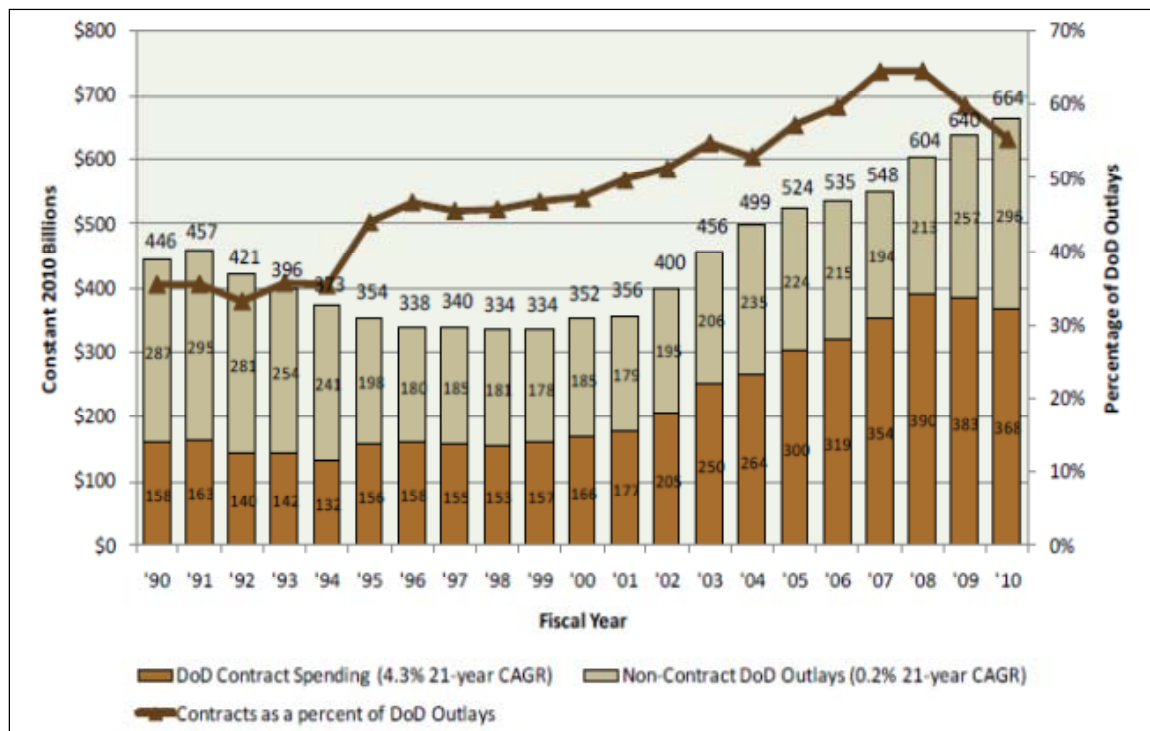

Figure 1.   Top Line DoD Contract Spending, 1990–2010
(Ellman et al., 2011)

Buying services is fundamentally different from buying weapons systems. This difference can lead to situations where decisions are not made in the best interest of the government and American taxpayer, while also increasing overall vulnerability to waste, fraud, or abuse (Government Accountability Office [GAO], 2008). The increase in service contracts has placed a greater importance on the role of contractors in the execution of certain governmental functions. In many cases, contractors are hired to perform services the government cannot do on its own because it lacks the personnel to do the job. Recent problems with the lack of oversight and management of contractors are compounded by the growing reliance on contractors to perform functions that government personnel previously carried out (GAO, 2008). A study by the Government Accountability Office (GAO) concluded that the DoD tends to focus primarily on those elements associated with awarding contracts, with much less attention paid to the formulation of service acquisition requirements or to the assessment of the actual delivery of contracted services (GAO, 2006). As a result, it is difficult for the DoD to determine whether its investments in services are achieving the desired outcomes. Effective service contract oversight will help alleviate this burden and ensure that the government gets the services it pays for.

Contract oversight refers to a myriad of tasks, including contract administration functions, past performance evaluations, property administration, corrective action, and quality assurance surveillance. The procurement contracting officer (PCO) is ultimately responsible for ensuring that the contractor performs the duties that are outlined in the service contract. However, PCOs typically manage more than one contract, depending on the contract amount, and oftentimes are not in the location of installation, where the services are provided. Because of this, PCOs have the authority to appoint contracting officer's representatives (CORs) to assist in managing the service contracts on their behalf.

B.   PURPOSE

The overall purpose of this research is to develop a comprehensive understanding of the CORs' social networks and what effect they have on the surveillance of the service contract. To accomplish this objective, I conducted an analysis of data collected from

interviews with persons included in the social networks of two Air Force service contracts and one Army service contract. I grouped the data collected from the interview questions into three categories based on the type of information about the social network: information on its structure, information on communication that occurs between members in the network, and information on each member's role with regards to the service contract. The results from this study will hopefully contribute to ongoing research by the Acquisition Research Program at the Naval Postgraduate School regarding the management of service contracts.

C.   RESEARCH QUESTIONS

In this research, I attempt to answer the following primary and secondary questions as they relate to the CORs' social network:

Primary:

1)   What effects do attributes of the CORs' social network have on surveillance of the service contract?

Secondary:

1)   What is the structure of the CORs' social network, and which members are included in it?

2)   What roles and responsibilities does each member within the network have with regards to the management of the service contract?

3)   How does communication transpire between each member of the social network, what information is shared, and how often does communication occur?

4)   What conclusions can be drawn from the analysis of each social network?

D.   BENEFITS AND LIMITATIONS

The data that I gathered during this research will help in understanding and analyzing the management practices the CORs used through their social networks. This study is a continuation of previous studies in services acquisition but focuses on the COR and contract surveillance. This study also creates a foundation for possible future studies of CORs' social networks. The overall intent of this study is to improve the efficiency and effectiveness of the CORs' service oversight.

The sheer volume of service acquisitions that the DoD manages in addition to other factors narrows this research. First, the sample size of three social networks used to collect data for analysis in this study is an extremely small portion of the total number of service contracts within the DoD, but I believe that it is representative. Second, I included service contracts in this study from only two branches of the military: the Air Force and the Army. The scope of this research is also limited to two military installations, Lackland Air Force Base in San Antonio, TX, and the Presidio of Monterey in Monterey, CA. Finally, the study of social networks is a complex and time-consuming task. Numerous individuals are involved in the management process, and interviewing every person presents a great challenge. Because of the length of time interviews take to conduct and the limited time to conduct this research, I narrowed the scope of the social networks to the primary people responsible for the oversight and management of the service contract, namely the COR, PCO, customer representative, and contractor representative. In spite of this narrower scope of focus, interviewing the members of the social networks still presented a challenge, and I was unable to interview all the members that I initially planned to interview.

E.   ORGANIZATION OF THE REPORT

I have organized this report into five chapters. In Chapter I, I provide introductory information for the research and include a background, purpose for the research, primary questions that I aim to answer, and the benefits and limitations of the research. In Chapter II, I review current literature on services acquisition, which includes reports from the GAO, the Department of Defense Inspector General (DoDIG), and the DSB, as well as research reports from students at the Naval Postgraduate School. In Chapter III, I describe the methodology that I used during this study. In Chapter IV, I present the information gathered from the interviews. Chapter V consists of a summary of the research, conclusions, recommendations, and areas for future study.

F.   SUMMARY

In this chapter, I provided background information on services acquisition and the COR's role in service contract oversight. I also described the purpose of this research,

the primary research questions for the study, and benefits and limitations of the research. In Chapter II, I review current literature in the area of services acquisition.

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II. LITERATURE REVIEW

A. INTRODUCTION

In this chapter, I review available literature from GAO reports, DoDIG reports, DSB reports, and several other studies in the area of acquisition of services. The purpose of this review is to gain a better understanding of the underlying processes involved with the DoD's acquisition of services and how those services are managed. I begin the chapter with an overview of the management of service contracts and issues recent studies have identified. In the second section of this chapter, I examine oversight of the service contract and the CORs' role in surveillance of the contract. In the final section of this chapter, I discuss recent studies sponsored by the Naval Postgraduate School Acquisition Research Program to demonstrate the growing body of knowledge in service acquisition upon which this research builds.

B. SERVICE CONTRACTS

1. Management of Service Contracts

The U.S. government is one of the largest buyers in the world. Recently, the DoD has shifted from purchasing more services than goods. From fiscal year (FY) 1990 to FY 2000, the purchases of goods decreased by approximately $25 billion while the purchases of services increased by $17 billion (GAO, 2001), as illustrated in Figure 2. Furthermore, this trend continued between FY 2000 and FY 2010, where dollars obligated by the DoD to contract awards more than doubled, and contract spending far outpaced growth in other DoD outlays (Ellman et al., 2011). In FY 2011, DoD spending on service contract actions totaled $198 billion, accounting for 56% of total DoD contract spending for the year and just under 30% of total DoD outlays (Berteau, Ben-Ari, Sanders, Morrow, & Ellman, 2012).
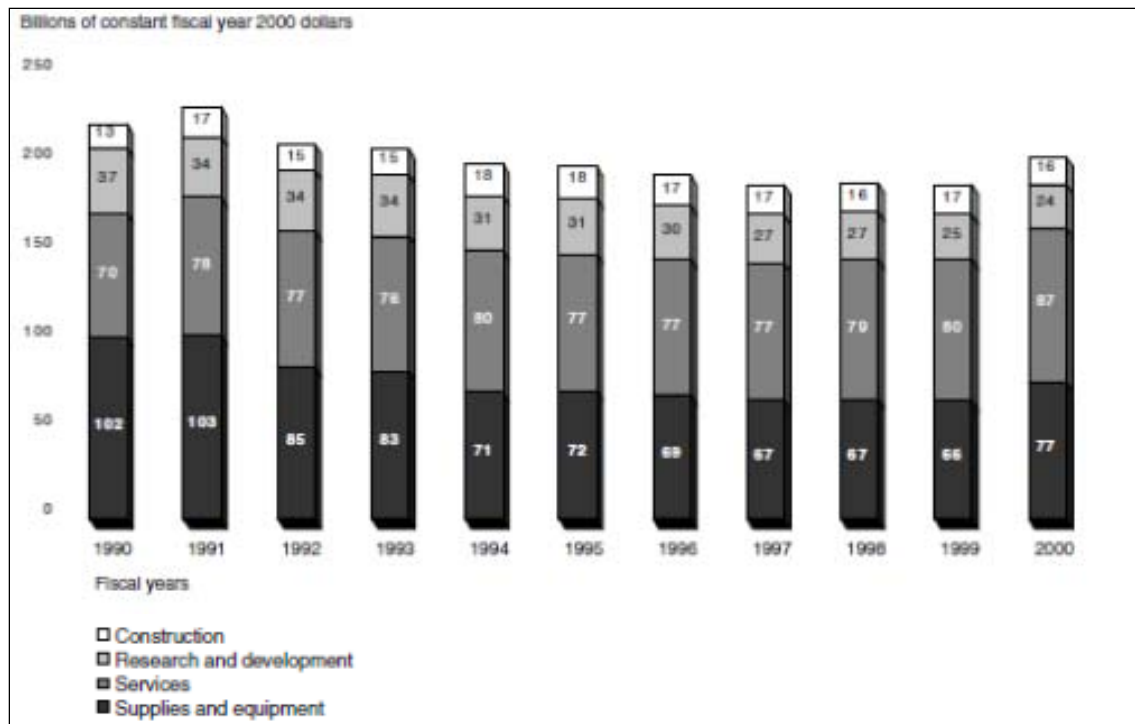
Figure 2. **Changes in Federal Spending, FY 1990 to FY 2000**
(GAO, 2001)

The DoD procures a myriad of services ranging from routine services for facilities and equipment to highly skilled analyses and direct support to battlefield operations (DSB, 2011). There are currently 24 different top-level categories of services that the DoD purchases. As seen in Table 1, the DoD spent over 83% of funding from service contracts in seven of the 24 categories. The seven categories are professional, administrative, and management support services; research and development; construction of structures and facilities; maintenance, repair, and rebuilding of equipment; automatic data processing and telecommunication services; medical services; and utilities and housekeeping services (DSB, 2011). In addition to the 24 service categories, each top-level category has thousands of subcategories, each with a unique four-digit code. The Federal Procurement Data System (FPDS) is the database that currently tracks past and current service contracts based on those four-digit codes.

Table 1. DoD Services Funding for FY 2010 as Listed in the Federal Procurement Data System
(DSB, 2011)

Major Service Code	Description in the FPDS	DOD FY2010 (billions)
R	Professional, Administrative and Management Support Services	$47.6
A	Research and Development	42.3
Y	Construction of Structures and Facilities	24.8
J	Maintenance, Repair, and Rebuilding of Equipment	16.6
D	Automatic Data Processing and Telecommunication Services	13.1
Q	Medical Services	12.7
Z	Maintenance, Repair or Alteration of Real Property	10.6
S	Utilities and Housekeeping Services	7.9
V	Transportation, Travel and Relocation Services	6.9
C	Architect and Engineering Services - Construction	3.8
F	Natural Resources Management	2.7
M	Operation of Government-Owned Facility	2.2
U	Education and Training Services	2.2
B	Special Studies and Analyses - Not R&D	2.1
L	Technical Representative Services	1.7
K	Modification of Equipment	1.1
W	Lease or Rental of Equipment	0.8
N	Installation Equipment	0.8
H	Quality Control, Testing and Inspection Services	0.7
X	Lease or Rental of Facilities	0.3
T	Photographic, Mapping, Printing, and Publication Services	0.2
G	Social Services	0.1
P	Salvage Services	0.1
E	Purchase of Structures and Facilities	0.1

The management of service contracts in the DoD follows a six-phase contract management process known as the *procurement process*, which is similar to what companies in the private sector use. This management process begins with procurement planning, followed by solicitation planning, solicitation, and source selection, which are followed by contract administration, and which ends with contract closeout or termination, as seen in Figure 3 (Apte, Ferrer, Lewis, & Rendon, 2006).
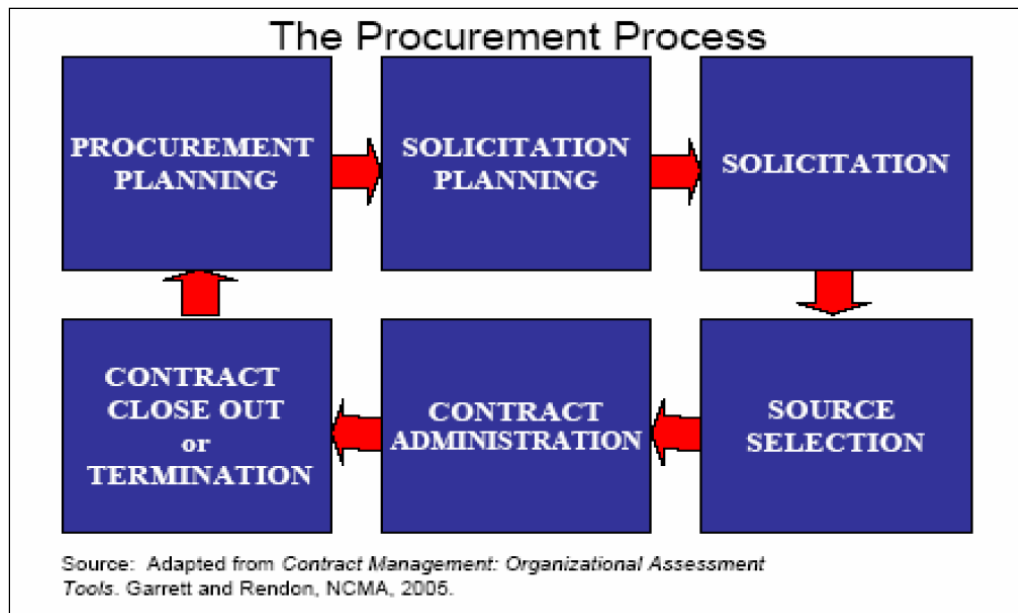
Figure 3.   Six-Phase Procurement Process
(Apte et al., 2006)

The first phase of the procurement process, namely the procurement planning phase, focuses on the details of the service that will satisfy the needs of the organization, namely what service to procure, how to procure it, and when to procure it (Apte et al., 2006). Essential activities during this phase include identifying the scope of work of the service contract, conducting market research, determining funds available, and developing initial cost and schedule estimates. An important document developed during this phase is the statement of work (SOW) or the performance work statement (PWS).

The second phase, namely the solicitation planning phase, involves preparing the solicitation documents required for solicitation (Apte et al., 2006). During this phase, the contracting officer finalizes the details of the contract to include proposal analysis criteria, contract award type, SOW, standard terms and conditions, and any special requirements needed.

During the solicitation phase, the contracting officer publishes the request for proposal (RFP), allowing companies to bid on the contract (Apte et al., 2006). The PCO dialogues with potential bidders to ensure that they understand all the technical and contractual requirements of the service contract.

The fourth phase of the procurement process, source selection, analyzes the proposals that contractors submit based on the evaluation criteria outlined in the RFP (Apte et al., 2006). The members of the solicitation team apply the evaluation criteria to each proposal, taking into consideration the past performance information of each contractor, and award the contract to the proposal that has either the lowest cost technically accepted or the best value to the cost.

The fifth phase, contract administration, is perhaps the longest of all the phases, but it is also the most critical. This phase involves managing the relationship between the government and the contractor and ensuring that both parties are meeting their contractual obligations (Apte et al., 2006). A key activity during this phase is the surveillance of the contract to ensure that the contractor is adequately providing services and that taxpayer money is not wasted. The procurement process concludes with the contract closeout, or termination, phase. The contract ends when all parties have met the requirements outlined in the contract, the government terminates the contract for convenience, or the government terminates the contract for default (Apte et al., 2006).

The DoD has experienced significant challenges in procuring services. For example, the acquisition of services is inherently different from the acquisition of goods. Service acquisitions typically result in an intangible product compared to the acquisition of goods, which results in a physical one. Another major difference is that major weapon systems programs could take up to 10 or more years to deliver a product versus service contracts that almost immediately begin providing the needed service to the customer. The GAO (2006) noted in its report that DoD's approach to buying services is "largely fragmented and uncoordinated" (p. 6). Also, the DoD tends to focus primarily on awarding the contract instead of focusing on developing good requirements for the service and assessment of the actual service delivered by the contractor (GAO, 2006). These challenges resulted in several cases of inadequate management of the service contract, which typically resulted in services provided by the contractor not fulfilling the need of the requesting agency.

Changes in the acquisition workforce compounded the issues that the DoD faced in procuring services. The workload from contracting actions increased as the workforce drastically downsized. From FY 1990 to FY 1999, the DoD reduced its workforce

approximately 50%, from 460,516 to 230,556 personnel; meanwhile, the number of procurement actions increased by about 12%, from 13.2 million to 14.8 million, as seen in Figure 4 (Department of Defense Inspector General [DoDIG], 2000). The reductions of contracting personnel continued from FY 2000 onward, although DoD procurement budget and number of contracting actions continued to significantly increase.
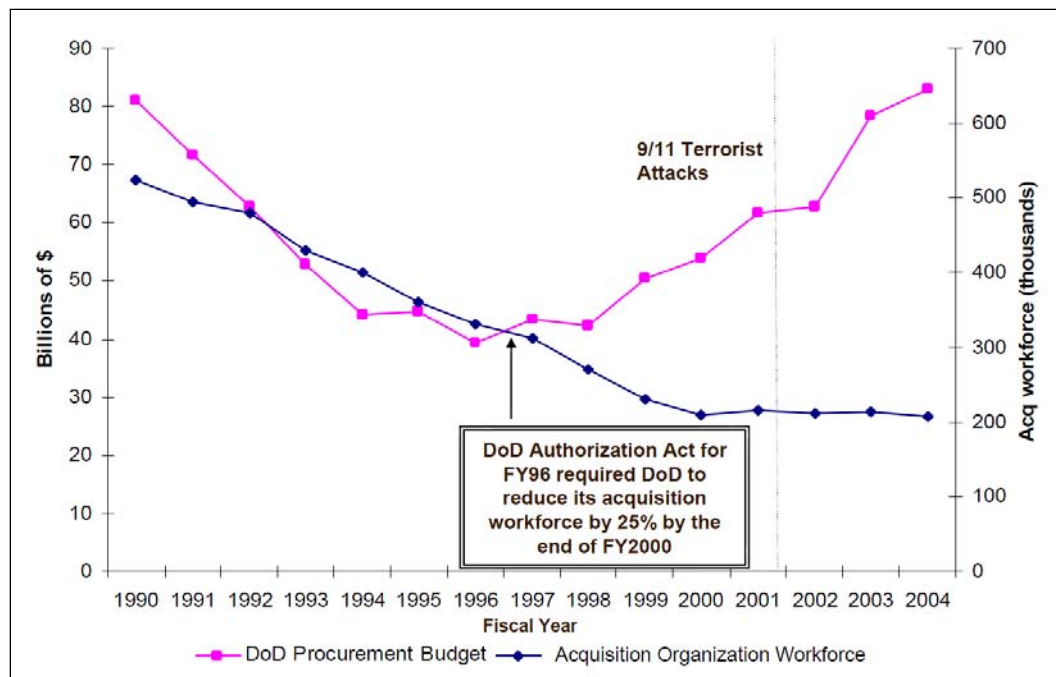
Figure 4.   Defense Acquisition Workforce, 1990–2004
(Gansler et al., 2007, p. 30)

This reduction in contracting professionals also contributed to the difficulties that the DoD experienced while procuring services. Those who left the acquisition workforce took their experience and knowledge with them. The GAO (2001) noted that the workforce was "not balanced and therefore risked the orderly transfer of institutional knowledge" (p. 7). Also, the loss of these knowledgeable and experienced individuals made it difficult to mentor the developing workforce (GAO, 2006).

As a result of the issues the DoD experienced, Congress recognized the need for management and oversight of service contracts. Section 802 of the National Defense Authorization Act of 2002 directed the DoD to establish and implement a management structure for the procurement of services. Congress gave additional regulation in the

National Defense Authorization Act of 2006. Section 812 of this act directed the DoD to do the following:

- identify the critical skills and competencies needed to carry out the procurement of services;

- develop a comprehensive strategy for recruitment, training, and deploying employees to meet the requirements for skills and competencies;

- establish contract services acquisition categories, based on dollar thresholds, for the purpose of establishing the level of review, decision authority, and applicable procedures;

- dedicate full-time commodity managers to coordinate the procurement of key categories of services;

- ensure that contract services are procured by means of procurement actions that are in the best interests of the DoD and entered into and managed in compliance with applicable laws, regulations, directives, and requirements;

- ensure that competitive procedures and performance-based contracting are used to the maximum extent practicable; and

- monitor data and periodically collect spend analyses to ensure that funds allotted for the procurement of services are expended in the most rational and economical manner practicable. (GAO, 2006)

2. Performance-Based Contracting

Performance-based service acquisition (PBSA) contracting is the preferred method of contracting for services in accordance with Section 821 of the National Defense Authorization Act of 2001. The use of PBSA was first outlined in the Office of Federal Procurement Policy (OFPP) Policy Letter 91-2 (Burman, 1991). OFPP Policy Letter 91-2 defines performance-based contracting as the "means structuring all aspects of an acquisition around the purpose of the work to be performed as opposed to either the manner by which the work is to be performed or broad and imprecise statements of work" (Burman, 1991). According to the OFPP, some of the common issues with contracting of services result from

- unnecessarily vague SOWs, which increase costs or make it difficult to control costs;

- insufficient use of fixed-price and incentive fee pricing arrangements for repetitive requirements, resulting in increased costs and inadequate incentive to improve performance; or

- nonexistent or inadequate contract administration plans, which lead to unauthorized commitments by the government and delayed contract completion. (Burman, 1991)

The aim of PBSA is to improve the performance of service contracts by ensuring the appropriate quality level of service is achieved. According to OFPP Policy Letter 91-2 guidance, performance-based contracts should do the following in order to be effective:

- Describe the requirements in terms of results required rather than the methods of performance of the work. Agencies should structure performance work statements in contracts around the purpose of the work to be performed, that is, what is to be performed rather than how to perform it.

- Set measurable performance standards. Standards should be set in terms of quality, timeliness, and quantity, among other things. Agencies should ensure that each standard is necessary, carefully chosen, and not unduly burdensome.

- Describe how the contractor's performance will be evaluated in a quality assurance plan. A good quality assurance plan should include a surveillance schedule and clearly state the surveillance methods to be used.

- Identify positive and negative incentives, when appropriate. Incentives should be used when they will induce better quality performance and may be either positive or negative, or a combination of both. (GAO, 2002)

Senior military leaders saw the potential for PBSA to improve the acquisition of services. The Deputy Under Secretary of Defense established a goal for the DoD that, at a minimum, "50 percent of service acquisitions, measured both in dollars and actions, will be performance-based by the year 2005" (Gansler, 2000). According to the GAO, in 2001, agencies reported using performance-based contracting methods on about $28.6 billion, or 21%, of the $135.8 billion total obligations incurred for services. Specifically, of about 360,000 service contract actions during FY 2001, agencies reported that about 41,000 (approximately 11%) were performance-based (GAO, 2002).

Overall, performance-based contracting offers the government a viable way to achieve savings from services acquisitions and get better results from contractors. However, government agencies need to better understand the strategies behind PBSA in order to take full advantage of this contracting method for services. According to the GAO (2002) report, although some agencies are taking full advantage of PBSA, there are

some agencies that only partially apply performance-based methods and are missing opportunities to find better ways of doing business. The three service contracts I studied during this research were procured using performance-based service acquisition methods.

C.   SERVICE CONTRACT OVERSIGHT

In this research, I focused on oversight of the service contracts during the contract administration phase of the procurement process. More specifically, I narrowed the scope of the research to contract surveillance that the COR performed. There are several terms that different military agencies use to describe surveillance personnel. These terms include, but are not limited to, COR, quality assurance personnel (QAP), quality assurance evaluator (QAE), contracting officer's technical representative (COTR), and task order manager (TOM; GAO, 2005). For the purposes of this research, any personnel who performs contract surveillance is referred to as a COR.

1.   Service Contract Oversight Policy

Service contract oversight is perhaps one of the most important, and potentially difficult, activities involved with management of the service contract. John Hutton, Director of Acquisition and Sourcing Management, and William Solis, Director of Defense Capabilities and Management, summarized the importance of the surveillance in their testimony before the Defense Acquisition Reform Panel, Committee on Armed Services, U.S. House of Representatives:

> Managing and assessing post-award performance entails various activities to ensure that the delivery of services meets the terms of the contract and requires adequate surveillance resources, proper incentives, and a capable workforce for overseeing contracting activities. If surveillance is not conducted, is insufficient, or not well documented, DOD is at risk of being unable to identify and correct poor contractor performance in a timely manner. (GAO, 2009)

The Federal Acquisition Regulation (FAR, 2012) Subparts 37.602-2 and 46.104 and the Defense Federal Acquisition Regulation Supplemental (DFARS, 2012) Subpart 246.102 require oversight and surveillance on all service contracts. Surveillance involves government oversight of contractors to ensure that the contractor (the service provider) performs the requirements of the contract, and that the government (the service customer)

receives the service as intended (GAO, 2005). In addition, documentation of the surveillance is important to ensure accountability of the surveillance process.

An essential part of the surveillance process is a comprehensive quality assurance surveillance plan (QASP). A QASP is a detailed document that describes to the contractor "how and when the Government will survey, observe, test, sample, evaluate, and document contractor performance results to determine whether the contractor has met the required standards for each objective in the contract" (Defense Acquisition University [DAU], 2011). FAR Subpart 37.6, Performance-Based Contracting, requires agencies to develop QASPs when using the PBSA methodology to contract for services. FAR (2012) Subpart 37.6 states,

> Agencies shall develop quality assurance surveillance plans when acquiring services. These plans shall recognize the responsibility of the contractor (to carry out its quality control obligations and shall contain measurable inspection and acceptance criteria corresponding to the performance standards contained in the statement of work. The quality assurance surveillance plans shall focus on the level of performance required by the statement of work, rather than the methodology used by the contractor to achieve that level of performance.

FAR (2012) Subpart 46.103, Contracting Office Responsibilities, requires the customer who receives the service to provide a technical surveillance plan to the contracting office. FAR (2012) Subpart 46.103 states,

> Contracting offices are responsible for receiving from the activity responsible for technical requirements any specifications for inspection, testing, and other contract quality requirements essential to ensure the integrity of the supplies or services (the activity responsible for technical requirements is responsible for prescribing contract quality requirements, such as inspection and testing requirements or, for service contracts, a quality assurance surveillance plan).

FAR (2012) Subpart 46.4, Government Contract Quality Assurance, describes what types of information should be included in the QASP. FAR (2012) Subart 46.4 states,

> Government contract quality assurance shall be performed at such times (including any stage of manufacture or performance of services) and places (including subcontractors' plants) as may be necessary to determine that the supplies or services conform to contract requirements. Quality assurance surveillance plans should be prepared in conjunction with the

preparation of the statement of work. The plans should specify (1) All work requiring surveillance; and (2) The method of surveillance.

2.   Contracting Officer's Representative

The PCO is primarily accountable for service contract oversight, which can include contract administration functions, quality assurance surveillance, corrective action, property administration, and past performance evaluation (GAO, 2012). Often, PCOs manage several contracts at once, meaning they can focus only so much attention on any given contract. Additionally, they may not possess the technical expertise necessary to accurately survey the contractor and its performance. To effectively manage the contract, PCOs have the authority to designate CORs to assist them with contract oversight; however, the PCO is the only person with the authority to make any changes to the service contract.

The COR is an essential part of the contract management team and plays a vital role in the surveillance of the service contract. DFARS (2012) Subpart 252.201-7000 defines a COR as "an individual designated in accordance with subsection 201.602-2 of the Defense Federal Acquisition Regulation Supplement and authorized in writing by the contracting officer to perform specific technical or administrative functions." CORs serve as the eyes and ears of the PCO and act as a liaison between the contracting office, contractor, and the customer. According to the *DoD COR Handbook* (Director, Defense Procurement and Acquisition Policy, 2012) and the Army *COR Guide* (Army Contracting Agency, 2005), the COR is responsible for the following:

- Establishing and maintaining individual COR files for each contract in accordance with DFARS Procedures, Guidance and Information (PGI) 201.602-2(ii). COR files shall be available for review by the contracting officer, inspector general, the GAO, internal review officials, or other officials as authorized by the contracting officer.

- Reviewing and understanding the terms and conditions of the contract.

- Performing COR duties and responsibilities as designated by the contracting officer.

- Not appointing, designating, re-designating or sub-designating COR duties and responsibilities to other persons.

- Fulfilling the government's commitments to the contractor.

- Serving as a liaison between the contracting officer and the contractor.

- Monitoring the contractor's performance under the contract.

- Ensuring that the contractor delivers what is called for in the contract.

- Providing reports on contract performance to the PCO; if advised by the PCO that reports are inadequate, ensuring that follow-on reports address issues expected by the contracting officer to meet the adequate standard in the QASP.

The COR's most important task from the previous list is to monitor the contractor's performance as outlined in the contract. During the contract administration phase, the success or failure of the service contract depends on "the contractor's performance in delivering the service and the Government's performance in monitoring the contract and assessing that the technical requirements are met" (U.S. Merit Systems Protection Board [MSPB], 2005). The COR's main goal from surveillance is to ensure that the contractor meets the government's technical requirements for quality and completeness, within the time frame, and at the cost outlined in the service contract. If any issues arise while managing the contract, the COR will work with the PCO to take action to correct the problem. Depending on the service contract, issues can lead to an increase in costs for the government or reduce the chances for a successful outcome from the contract.

3. Current Issues

Recent studies conducted by the GAO and the DoDIG focused on contract surveillance for service contracts. The DoDIG noted that most of the service contracts reviewed had a COR designated to monitor contractor performance. However, the PCO and CORs did not provide sufficient contract oversight to ensure that contractors were adequately providing services in accordance with contract specifications (DoDIG, 2005). One reason for the poor oversight resulted from issues with the QASP. Of the 23 service contracts that the DoDIG reviewed, only three contained a QASP required by the FAR. The remaining 20 contracts had either no surveillance plan or an inadequate one. Contracting officials had varied reasons for not preparing a QASP; however, they all demonstrated a lack of understanding of the requirements for a QASP when contracting for the service (DoDIG, 2005). The DoDIG also discovered that contracting officials

used performance-based contracting methods in only five of the 23 contracts reviewed, or 22%. Table 2 summarizes the contract oversight problems identified during the DoDIG's investigation.

Table 2.   Summary of Contract Oversight Problems
(DoDIG, 2005)

Problem Area	Occurrences/Universe	Percent*
Nonexistent surveillance plan	14/23	61
Inadequate surveillance plan	6/23	26
Cursory or nonexistent voucher review	12/23	52
Non-DCAA voucher prepayment review	13/23	57
Inadequate recording of past performance	10/23	43
Nonuse of performance based contracting method	18/23	78
*Judgment sample percentage does not generalize to universe		

The results of the GAO study varied slightly from those in the DoDIG report. The GAO found insufficient surveillance was performed on 26 of the 90 contracts it reviewed, or 29% (GAO, 2005). Fifteen of the 26 contracts had no COR assigned to them, while the remaining 11 did have a COR assigned but did not have sufficient documentation to show that surveillance was occurring. When asked how these persons were protecting the interests of the government, the CORs stated that they were conducting surveillance but did not keep documentation showing that this took place. The GAO (2005) found that some of the amounts for the 15 contracts with no CORs more than tripled over the course of the contract. Unlike the DoDIG, the GAO found that 64 of the 90 contracts, or 71%, had sufficient, documented surveillance that in some cases was extensive (GAO, 2005). Table 3 summarizes the findings of the GAO report.

Table 3.   Summary of Surveillance on DoD Service Contracts
(GAO, 2005)

Dollars in millions	Total contracts reviewed		Number of contracts with no surveillance personnel assigned	Number of contracts with insufficient evidence of surveillance
DOD Organization	Number of contracts	Award amount		
Air Force				
AFMC	20	$39.0	0	0
Other organization	8	2.4	0	0
Army				
ACA-North	19	86.2	7	2
Other organization	11	20.7	6	1
Navy				
NAVSEA	20	226.6	0	0
Other organization	6	8.7	1	4
OSD and other DOD agencies	6	2.1	1	4
Total	90	$385.7	15	11

According to the GAO's (2005) report, several factors contributed to insufficient surveillance of certain contracts.   One major factor was the priority placed on surveillance. For many contracting officers and managers, a higher priority is placed on contract award versus surveillance of the contractor (GAO, 2005).   Because the contracting officer is the only person with the authority to designate a COR, this can lead to situations where no contract had been assigned to a COR or where the CORs are improperly managed, leading to insufficient surveillance of the service contract. According to Table 3, the Army was the worst offender of not assigning CORs to their contracts.   One reason for this trend, the GAO discovered, is that the Army, unlike the other Services, does not require that CORs be assigned to service contracts.   Other contributors to insufficient surveillance include lack of training for the CORs, failure to rate CORs on their surveillance responsibilities, surveillance as only a part-time duty for some CORs,   and lack of a QASP for the CORs to use when performing their surveillance duties.

To help improve service contract surveillance and further mitigate risk, the GAO (2005) offered the following recommendations to the Secretary of Defense in their report:

- ensure that the proper surveillance training of personnel and their assignment to service contracts occurs no later than the date of contract award;

- develop practices to help ensure accountability for personnel carrying out surveillance responsibilities;

- ensure that the DoD's service contract review process and associated data collection requirements provide information that will provide more management visibility over contract surveillance; and

- revise the October 2004 policy on proper use of other agencies' contracts to include guidance on conducting surveillance of services procured from other agencies' contracts.

D. PREVIOUSLY COMPLETED RESEARCH

In this section, I discuss a series of six studies recently conducted in the area of acquisition of services. The first two studies, *Managing the Services Supply Chain in the Department of Defense: Opportunities and Challenges* (Apte et al., 2006) and *Managing the Service Supply Chain in the Department of Defense: Implications for the Program Management Infrastructure* (Apte & Rendon, 2007), were exploratory in nature. The focus of these two studies was to (1) analyze the size, structure, and trends in the DoD's service supply chain; (2) understand the challenges that PCOs, program managers, and end-users face in services acquisition; (3) develop a conceptual framework for understanding and analyzing the supply chain in services; and (4) provide policy recommendations that can lead to more effective and efficient management of the DoD's spending on services (Apte et al., 2006).

The next two studies, *Managing the Services Supply Chain in the Department of Defense: An Empirical Study of Current Management Practices* (Apte, Apte, & Rendon, 2008) and *Managing the Services Supply Chain in the Department of Defense: Empirical Study of the Current Management Practices in the Army* (Apte, Apte, & Rendon, 2009) used a survey instrument developed by Compton and Meinshausen (2007) in their MBA project to gather empirical data regarding the current state of services acquisition management in the Navy, Air Force, and Army at the installation level (Apte et al., 2009). The questions in the survey focused on four areas of interest: contract characteristics, acquisition management methods, project team approaches, and other program management issues (Apte, Apte, & Rendon, 2008). The purpose of questions in the contract characteristics category was to gain insight into the dominant procurement method and contract type used in the acquisition of services (Apte et al., 2008). The

purpose of questions in the acquisition management methods category was to gain insight into the types of management methods and approaches used in the acquisition of individual services at each phase of the contract management process (Apte et al., 2008). The purpose of questions in the project team approach category was to explore the use of a project team approach in the management of services acquisition (Apte et al., 2008). The questions in the category for other program management issues focused on additional areas of program management, such as life-cycle approach, length of assignment of management personnel, and the level of training of services acquisition management personnel (Apte et al., 2008).

In the fifth study, *Services Supply Chain in the Department of Defense: Comparison and Analysis of Acquisition Management in the Army, Navy, and Air Force* Apte, Apte, and Rendon (2010) analyzed and compared the management practices in the different military services based on the empirical data gathered in the previous two studies. A key finding from this study was the COR. Specifically, Apte et al. (2010) determined that in the Army and Air Force, CORs predominately provide contractor surveillance, compared to the Navy where the COR provides contractor surveillance about 50% of the time, with the PCO providing surveillance the rest of the time. The goal of these series of research studies was to answer the primary research question of "what drives the performance of services contracts" (Apte et al., 2010). To answer this question, the researchers broke down the acquisition of services system into four smaller areas for study: acquired services, contract characteristics, capacity, and management practices. The most recent study, *Services Supply Chain in the Department of Defense: Drivers of Acquisition Management Practices in the Army* (Apte, Apte, & Rendon, 2012), focused on understanding the drivers of acquisition management practices.

In this research, I aim to contribute to the body of knowledge created through the Acquisition Research Program by focusing on an area neglected by these recent studies: the social network of the COR. The goal is to create a better understanding of the effect the CORs' social networks have on contractor surveillance and oversight of the service contract. Ultimately, I intend to determine whether there is a relationship between communication within CORs' social networks and their surveillance of the contractor.

E.   SUMMARY

In this chapter, I reviewed available literature in the area of services acquisition. As the reliance on contractors to provide services increases, the need to improve processes of service contract management and oversight will become increasingly essential. In the next chapter, I describe the methodology that I used to collect data on the CORs' social networks and the approach I used to analyze the data.

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III. RESEARCH METHODOLOGY

A. INTRODUCTION

In this chapter, I describe the methodology used during this study. In the first section of the chapter, I detail the procedures used to select participants in the study, followed by the development of the questions used during interviews with participants. I conclude the chapter by describing the analytical process used to analyze the data gathered during the interviews.

B. PARTICIPANT SELECTION

According to Knoke and Yang (2008), investigators must address three important issues when designing an empirical study of a social network: boundary specification, network sampling, and measurement of relations (p. 15). In this section, I address the first two issues listed, and I address the third in Section C: Data Collection Questions. I used the following question to identify the boundary specification for this social network research: Where does a researcher set the limits when collecting data on social relations that, in reality, may have no obvious limits (Barnes, 1979, p. 414)? For the purposes of this research, I limited the boundary of the social network to four primary roles associated with the service contract. These roles are the COR, the PCO, the representative for the customer who receives the service from the contractor, and the representative for the contractor who provides the service to the customer. Each of these members is associated with the same service contract for them to be included in the same network.

During this study, I used the following procedures to determine who was required to be interviewed within each COR social network.

- Identify PCOs and ask them to participate in the study.

- Have the PCOs select a service contract they are responsible for, and have an appointed COR assist with monitoring the contract.

- Have the PCOs provide contact information for the COR, customer, and contractor.

- Ask each of these individuals whether he or she is willing to participate in the study. If the individual agrees to participate, begin the interview process.

I followed these steps with each of the COR social networks examined during the course of this study.

Due to the potential size of a social network, researchers often study a smaller portion of the entire social network, termed a *sample* in statistical analysis. By studying a large enough sample size of the total population, they are able to estimate to a certain degree of confidence the attributes of the larger population based on those observed in the sample. However, a sample size was not required for this particular study because all members of a given COR social network were studied, in other words, the total population involved in the contract. For this reason, I could confidently establish the attributes of the network based on the interviews conducted with members in that network.

C. DATA COLLECTION QUESTIONS

In this section, I address the third issue of social network research design: measurement of relations. In social network research, relations refer to how two members are connected or related to each other. An important part of this study is to better understand the communication that transpires between the members of the CORs' social networks. Therefore, I chose communication as the relationship to focus on during the course of the study.

The primary purpose of this research is to determine what conclusions can be drawn about communication within the CORs' social networks and the surveillance of the service contracts. To answer this question, I designed the interview questions to gather three types of data for analysis: information on the structure of the social network, information on communication that occurs between members of the social network, and information on each member's role and responsibilities with regards to the service contract. To determine the structure of the social network, I asked each member whom they communicate with about the service contract. To gather information about communication within the network, I asked members how often they communicate with

other members of the network, what means of communication they use, what reasons they communicate with each other, and what types of information they share. Lastly, I asked members what their primary duties were with regards to the service contract, at what phase in the contract procurement process they were appointed to their role, what training or certification they received, how they conduct surveillance of the service (COR specific), how they monitor the service contract, and what surveillance of the service they were aware of (all the questions can be found in Appendix A).

For this study, I selected two military bases to focus on: the Presidio of Monterey in Monterey, CA, and Lackland Air Force Base in San Antonio, TX. I selected Lackland Air Force Base as a target for research based on its size, population, and the number of contracting actions that occur there. The 802nd Contracting Squadron is responsible for all contracting actions at Lackland. The deputy of the contracting squadron chose two service contracts in its office to examine. The Presidio of Monterey is an Army base I chose due to its proximity to the Naval Postgraduate School. The Mission and Installation Contracting Command, U.S. Army Reserve Directorate of Contracting West Region, is responsible for contracts at the Presidio of Monterey. I asked the director of this contracting office specifically for the food service contract at the Presidio of Monterey to act as a point of comparison to the food service contract studied at Lackland.

D.   ANALYTICAL PROCESS

Before I could analyze the data gathered during the interviews, I had to determine how to represent it. There are typically two ways of representing social network data: graphs and matrices. Graphs present the relations between members of a social network through visualization, whereas matrices use mathematical algebraic representations of the relations (Knoke & Yang, 2008, p. 45). I decided to use a graphical representation to display the relationships between the members within each COR social network. I chose a graphical representation rather than a matrix representation due to its ease of understanding the connections between members. Figure 5 is an example of a graphical representation of a social network.
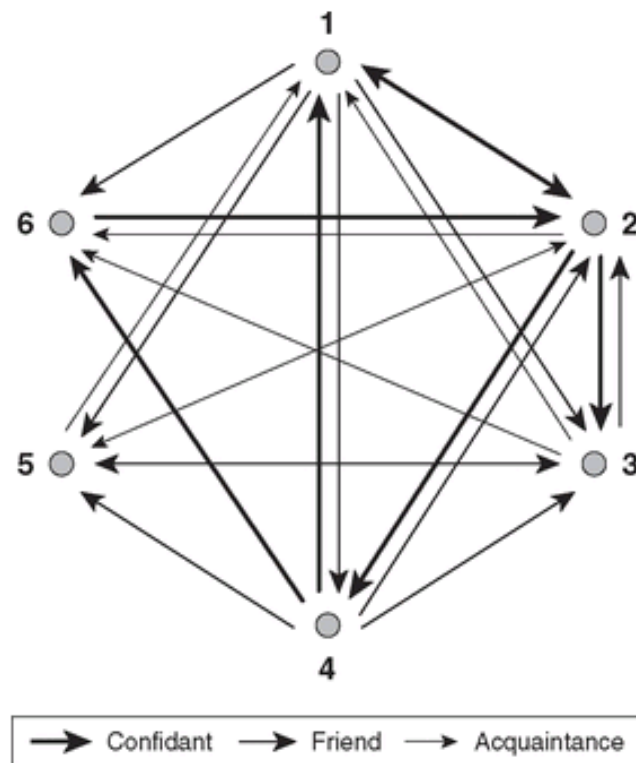
Figure 5.   Social Network of Women's Hometown Association in Yaounde, Cameroon
(Knoke & Yang, 2008, p. 47)

There are two primary elements of a social network graph: nodes and edges. Nodes represent members within the network, and the edges indicate a relationship between two nodes. In this report, nodes on a graph represent members of the COR's social network. Each node is labeled with the role that member serves with relation to the service contract (e.g., PCO, COR, customer, or contractor). An edge connecting two nodes indicates that communication occurs between those two members in the network, and the color of the line indicates the frequency of communication that occurs (e.g., daily, two to four times a week, once a week, etc.). Finally, a rectangle around nodes indicates that those members are located in the same vicinity (e.g., in the same office or building).

I analyzed each of the social networks that I studied by conducting a series of interviews with members serving one of the four primary roles associated with the service contract. Based on information gather during the interviews, I was able to map

out each COR social network and illustrate the topology using a graph. I then used the three types of data gathered during the interviews to define attributes of each social network and determine what impact each has on the surveillance of the service contract. Last, to help answer the primary research question, I compared the social networks to each other and looked for trends that might affect the surveillance of the service contract.

E.   SUMMARY

In this chapter, I explored the following methodology used during the course of the study: the manner in which participants were selected, the types of information the interview questions tried to extract from each participant, and how the data collected from interviews was used during analysis. In Chapter IV, I present the findings of each social network and an analysis of the data gathered during the interviews. I conclude the report with a summary of the research, followed by conclusions I drew from the analysis of the data, and end with suggestions for further research.

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IV.   RESULTS AND ANALYSIS

A.   INTRODUCTION

In this chapter, I present an analysis of the data collected during the interviews with members of each social network to answer the secondary questions proposed for this research project:

1) What are the structures of the CORs' social networks, and which members are included in them?

2) What role and responsibilities does each member within the network have with regards to the management of the service contract?

3) How does communication transpire between each member of the social network, what information is shared, and how often does communication occur?

4) What conclusions can be drawn from the analysis of each social network?

I begin this chapter by describing the two military installations where I conducted my interviews and where the social networks that I studied reside: Lackland Air Force Base and the Presidio of Monterey. The rest of the chapter is broken into three sections, one section for each social network studied, where I answer each of the previously listed questions using supporting qualitative data gathered from interviews with members of each social network.

The data from this research provides insight into the CORs' social networks. This information, however, is only a small sample of the many service contracts and potential COR social networks across the DoD. Though the sample size is relatively small in comparison to the population of service contracts, the information from this research creates a foundation of material on the CORs' social networks and will help guide future studies.

B.   SOCIAL NETWORK LOCATIONS

Lackland is located in the city of San Antonio, TX, and is part of Joint Base San Antonio (JBSA), which was formed in 2005 as a result of a round of base realignment and closure (BRAC). Under the BRAC Joint Basing Recommendation for San Antonio, installation support functions at Fort Sam Houston, Randolph Air Force Base and

Lackland Air Force Base were combined and placed under the command of one organization. The Air Force is currently the lead agency for JBSA, and it established the 502nd Air Base Wing to provide installation support across all JBSA locations. As a whole, JBSA "supports more than 250,000 personnel, including 425 retired general officers, and interfaces with 1,000 civic leaders of San Antonio, 20 smaller communities, four counties and four Congressional Districts" (JBSA, 2012).

One of the largest organizations on Lackland Air Force Base is the 37th Training Wing. The 37th Training Wing is responsible for the Basic Military Training of all Air Force, Air National Guard, and Air Force Reserve enlisted personnel. An average of 30,000 to 40,000 new Airmen each year travel to Lackland Air Force Base to receive their initial military training (U.S. Air Force, 2009). The contracting office on Lackland falls under the 802nd Contracting Squadron and provides contracting installation support to the more than 25,000 personnel that work on the base.

The Presidio of Monterey (POM) is an Army installation located in the city of Monterey, CA. For many years, the POM was a sub-installation of Fort Ord, the larger Army installation located a few miles away, until Fort Ord was closed in 1994 due to BRAC. After the closure of Fort Ord, the POM became a separate installation. The POM is currently the home of the Defense Language Institute Foreign Language Center (DLIFLC). The DLIFLC provides foreign language education, training, evaluation, and sustainment for all the military Services, in addition to several other government agencies. It is one of the premier language schools in the country and accommodates approximately 3,500 Soldiers, Marines, Sailors, and Airmen at any given time (POM, 2012). The Mission and Installation Contracting Command U.S. Army Reserve, Directorate of Contracting, West Region is the organization responsible for providing advice and contracting support to the Presidio of Monterey.

C. COR SOCIAL NETWORK A

The first COR social network studied, herein referred to as Social Network A, revolved around a food service contract. Under this contract, the contractor is responsible for providing full food services at 14 dining facilities and one flight kitchen

encompassing three locations and maintaining one meals-ready-to-eat (MRE) warehouse. Some of the tasks the contractor is responsible for preforming include dining facility management, cooking, food requisition and preparation, serving and replenishing food, cleaning facilities, maintaining food service and computer property, maintaining quality control ensuring operator maintenance and repair of food service property, and, in the event of contingency, performing all required tasks, including continued service (FedBizOpps [FBO] Daily, 2012). The food service operation associated with this service contract serves approximately 710,000 meals per month.

There is currently a short-term, 12-month bridge contract in place for this food service to provide uninterrupted services while a new four-year contract is being re-procured competitively. This bridge contract is valued at approximately $22 million. The previous service contract responsible for food services was a four-year contract awarded in 2007, which was worth roughly $107 million. The current bridge contract was awarded on March 30, 2012, and has a North American Industry Classification System (NAICS) code of 722310, Food Service Contractors (FBO Daily, 2012).

1.   Social Network Structure

Social Network A consists of 10 primary members, as illustrated in Figure 6, the graphical representation of Social Network A. These members include the PCO, a representative for the contractor, and a total of eight CORs. One of the eight CORs, COR 1 in Figure 6, is in charge of all of the CORs and also serves as the representative for the customer. Three of the eight CORs are uniformed military personnel, while the remaining five are full-time government employees. All the personnel assigned as a COR for this service contract are located in the same office, and their function as a COR is their sole job. In other words, the COR duties they perform are not additional duties. The representative for the contractor is located upstairs in the same building as the CORs. The contractor representative communicates with a separate social network, located in his or her office, which the contractor representative uses to assist with the management and implementation of the food service operation from the perspective of the contractor. The PCO is located on a separate part of the military installation and also associates with a

separate social network used to assist with the administration of the service contract. The PCO is a full-time government employee.
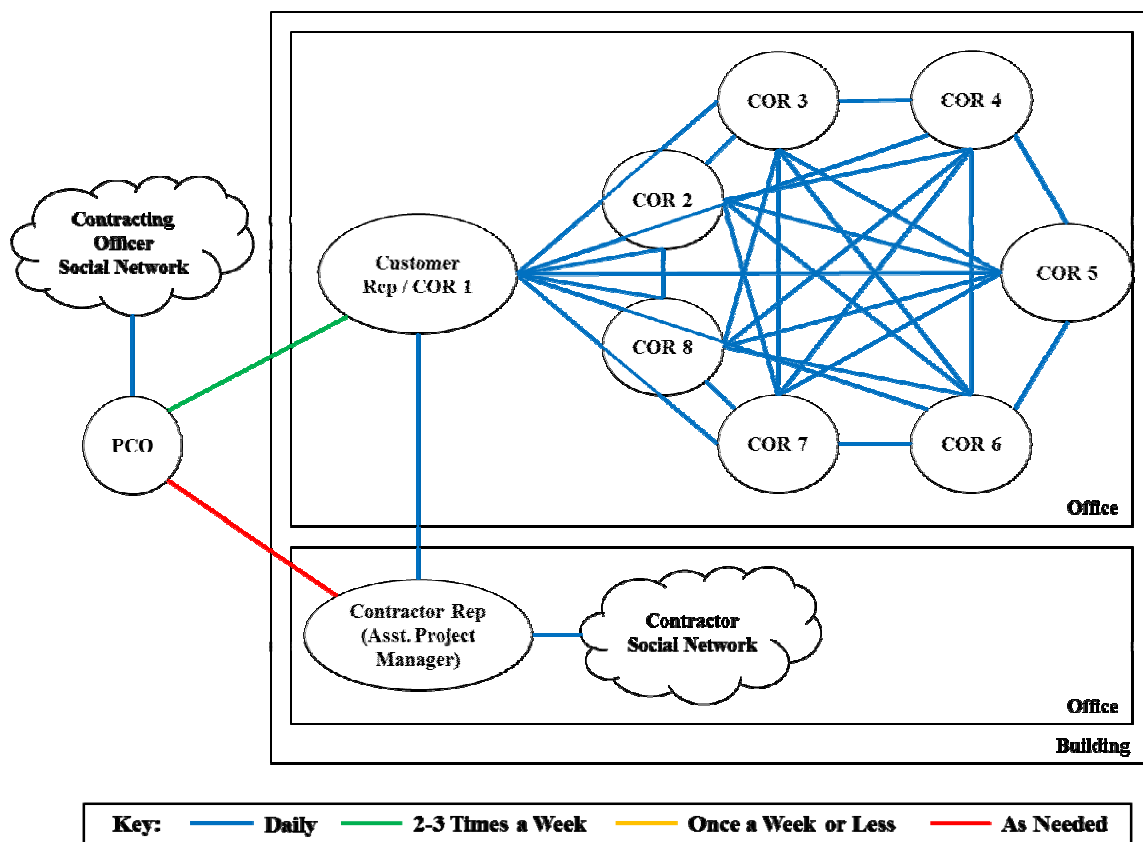
Figure 6.   Graph of Contracting Officer's Representative Social Network A

2.   Member Roles and Responsibilities

The PCO for Social Network A is responsible for administering the food service contract. Due to the size of this service contract, and the number of customers it serves, the PCO assigned the eight CORs to assist with oversight of the service contract. The PCO is the only person who can make any modifications to the food service contract, and who keeps extensive documentation in binders, such as the reports from the inspections conducted by the CORs, to illustrate everything the contractor does. Additionally, the PCO or an assistant conducts random, unannounced checks on the CORs to ensure that they are adequately executing the tasks they are assigned to perform.

The customer representative in this social network is the food service operations manager for the military installation and is responsible for managing the service contract from the customers' point of view. Additionally, the customer representative serves as the primary point of contact for the PCO and for the contractor representative. If there are any changes that need to be made to the service contract, or if there is an issue with the contractor, the customer representative is included in those conversations. The customer representative is also an appointed COR and oversees all the CORs associated with the service contract.

The seven CORs who report to the customer representative in this social network help oversee and manage the service contract. There are several tasks that the CORs accomplish in order to do this. Contractor surveillance is perhaps one of the most important tasks the CORs perform. One of the CORs in the network (COR 5) is the lead QAE and is responsible for all surveillance activities conducted. The QAE puts the surveillance schedule together for all the members in the office and reviews all the surveillance reports from the CORs looking for any trends or issues with the contractor. COR 5 is also responsible for managing the QASP each of the CORs uses during surveillance. COR 5 updates the QASP when, for example, the PCO modifies the service contract or public health changed the food code. Each dining facility has a binder with a copy of the QASP and other documents the CORs use when they conduct their inspection. The binders also contain a copy of each inspection a COR conducts at that dining facility. Most of the CORs in the network conduct inspections; however, two of the CORs, who are also uniformed military personnel, have the sole job of conducting inspections. They inspect a different dining facility three times a day during the entire work week.

With the exception of the two CORs whose only job is to conduct surveillance, the remaining CORs in the network perform additional functions that help manage the service contract. For example, COR 2 is the personal assistant for the food service operations manager (COR 1/Customer Rep) and conducts surveillances on occasion but mostly handles administrative tasks for the office. COR 2 is also in charge of COR 4 and COR 5. In addition to the two- or three-times–a-week surveillance, COR 4 processes all

the contractor's payments. Twice a month, COR 4 verifies, line by line, each billing claim from the contractor and ensures that everything matches what appears on the invoice. He also spot checks all the accounting paperwork the accountants handle.

3.   Network Communication

The PCO for Social Network A primarily communicates with COR 1, who serves as the representative for the customer in addition to being in charge of all the CORs for the food service contract. The PCO communicates with COR 1 several times a week, especially because the contracting office is in the process of procuring a new food service contract. Some of the information COR 1 shares with the PCO includes how surveillance of the dining facilities is going and whether there are any issues with the contract or the contractor. The PCO occasionally communicates with the other seven CORs in the office but primarily goes to COR 1 for all information. The PCO only communicates with the contractor representative if there is an issue that has to be discussed, and COR 1 will be included in any of these conversations. The PCO's main means of communication are e-mail and telephone, followed by face-to-face meetings. There are two reasons why the PCO predominately relies on e-mail and telephone for communication. The first is due to location. The PCO is located on a different part of the military installation from the CORs, and e-mail or telephone is the easiest way to communicate. The second reason is for documentation purposes. The PCO can use their e-mails as an official record of any information related to contract performance. The PCO also interacts with a separate social network on a daily basis during management of the service contract.

The eight CORs assigned to the food service contract interact with each other on a daily basis. They primarily use face-to-face communication because they are located in the same office. However, they also use email as a way of documenting their communications. The CORs share a myriad of different information, mostly related to the service contract. Some information shared between the CORs includes the results of dining facility inspections, any issues noted during surveillance, any trends identified from analysis of reports, any changes or updates to the QASP due to changes in the food code, and training that each COR needs to complete. Some CORs interact with different members of the contractor's social network; however, the majority of the communication

between the contractor and the CORs occurs between COR 1 and the contractor representative.

The contractor representative frequently communicates with the CORs in the office downstairs, at least two to three times a day and sometimes more often. As previously mentioned, the contractor representative primarily communicates with COR 1, but occasional communicates with the other CORs in that office as needed. The contractor representative regularly uses e-mail, telephone, and face-to-face interaction as a means of communication because of the convenience of being located in the same building as the CORs. Most of the information the contractor representative shares with the CORs relates to things that are occurring at the dining facilities that may hinder operations, such as plumbing problems, no gas or electricity, and other issues of that nature.

D.   COR SOCIAL NETWORK B

The second COR social network studied, herein referred to as Social Network B, revolved around a service contract for aircraft maintenance of transient aircraft. The services from this contract include transient aircraft management control, arrival, processing, and departure services; and aircraft maintenance servicing, launching, and forms documentation in accordance with the SOW. The contractor is also responsible for the maintenance of assigned powered and non-powered aerospace ground equipment (AGE) and support equipment (SE; Hitchye, 2012). This contract was awarded on March 27, 2008, with an NAICS code of 488119, Other Airport Operations, and has an approximate value of $6.7 million.

1.   Social Network Structure

Social Network B consists of seven primary members, as illustrated in Figure 7. These members include the PCO, the owner of the company who has the contract, contractor representative (the project manager), a representative for the customer, and a total of three CORs. One of the three CORs, COR 1 in Figure 7, is in charge of the other two CORs. All three CORs for this service contract are full-time government employees. Similar to the CORs in Social Network A, all three CORs are located in the same office,

and their primary duty is to function as a COR. The contractor representative associates with a separate social network, located in their office. The customer representative is uniformed military personnel. The three CORs, the customer representative, and the contractor representative are all located in the same building but in separate offices. The PCO is located on a separate part of the military installation and associates with a separate social network. The PCO is a full-time government employee.
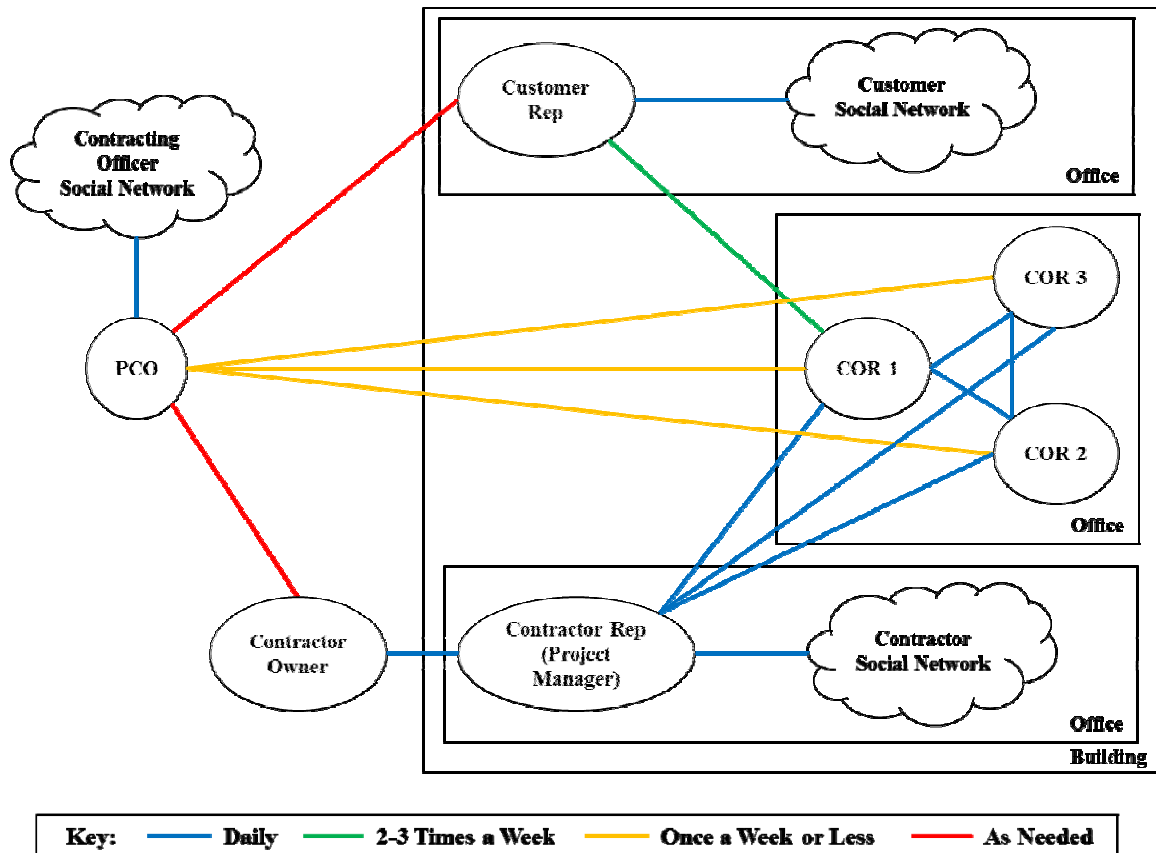
Figure 7.   Graph of Contracting Officer's Representative Social Network B

2.   Member Roles and Responsibilities

The PCO for Social Network B is primarily responsible for managing the transient maintenance service contract. The PCO makes modifications to the service contract as needed, gets clarification form the legal department on any ambiguous parts of the contract, and monitors the performance of the CORs to ensure that they are adequately accomplishing all the tasks outlined in the COR designation memorandum.

The PCO also keeps documentation of the contractor's performance in a binder in case any issues arise.

The CORs' primary responsibility for the transient maintenance service contract is surveillance of the contractor. They inspect the performance of the contractor every workday and one to two weekends a month, totaling to an average of 150 inspections a month. During each inspection, the CORs use a QASP that outlines exactly what they are looking for and how they are to conduct the inspections. Because of the small number of CORs in Social Network B, each COR contributes to surveillance by conducting inspections; however, COR 2 and COR 3 complete most of the inspections. COR 1 is the chief COR for the office and spends a majority of time performing the duties of the chief. COR 1 handles most of the administrative duties for the office, including creating the inspection schedules for the CORs and the end-of-month summary of how the contractor did for the month. COR 1 also oversees the money spent on the contract (i.e., oversees how much is being spent each month and any kind of reimbursements the government is giving back to the contractor for purchases). In addition to these duties, COR 1 also resolves any issues that arise during the performance of the service by the contractor. COR 2 spends a large amount of time managing the financial portion of the service contract, in addition to performing contractor inspections. COR 2 conducts trend analysis on the finances and reports these findings to the chief COR. COR 2 also pays the contractor monthly, handles any questions related to finances, and informs the chief of the balances on the contract line item numbers (CLINs).

The contractor representative's primary role is to ensure that the employees of the contractor are providing all services as outlined in the contract.

3. Network Communication

The PCO for Social Network B primarily communicates with the CORs during management of this service contract. If the PCO has any interactions with the contractor, it is with the owner of the company that has the contract and only when there is are any issues that cannot be resolved. Likewise, the PCO only communicates with the customer

representative when a change needs to be made to the service contract. The PCO communicates with all three CORs assigned to this service contract and converses with them approximately once a week to make sure everything is going well. When the PCO communicates with the CORs, the information discussed is usually the flow, terms, and conditions of the contract, unless there are any issues that the CORs have brought to the PCO's attention. These issues are annotated by the CORs, and the corresponding documentation is sent to the PCO. The PCO stores them in the COR section of the binder for this service contract kept in contracting office. The PCO's primary means of communication with the main members of Social Network B is via e-mail, followed by telephone. The PCO uses these means of communication due to the location of the office with respect to the building the other members of the social network work in. The two offices are located on opposite ends of the military installation, separated by several miles, so e-mail and telephone function as the most convenient forms of communication available to the PCO.

The CORs communicate with each other on a daily basis. They primarily rely on face-to-face communication because they are located in the same office. Some of the information discussed between the CORs includes the scheduling of inspections, the scheduling of aircraft that are coming in, the status of reports, and any information related to the contractors performance of the service. The three CORs interact with the contractor representative on an almost daily basis. They also mainly use face-to-face communication with the contractor because they are located in the same building. However, the CORs also use e-mail with the contractor as a way of keeping track of conversations and documenting them in case an issue arises with the performance of the contractor. COR 1 is the only person in the office who interacts with the customer representative and briefs the functional commander (customer representative) about twice a week on the status of the service contract and any issues that have been brought to the attention of COR 1.

The customer representative has little, if any, association with the contractor representative.

E. COR SOCIAL NETWORK C

The last social network studied during this research project, herein referred to as Social Network C, revolved around a food service contract. The food service contract for Social Network C is similar to the one for Social Network A; however, Social Network C's contract is much smaller in size compared to Social Network A's in terms of dollar value, the number of dining facilities, and number of customers it serves. The contractor for this service is responsible for functions similar to those outlined in Social Network A's service contract, but Social Network C has to manage only two dining facilities. The food service operation associated with this service contract serves approximately 57,000 meals per month. The current food service contract is a five-year contract that was awarded on April 28, 2010, with an NAICS code of 722310, Food Service Contractors, and has an approximate value of $18 million (FBO Daily, 2010).

1. Social Network Structure

Social Network C consists of four primary members, as illustrated in Figure 8. These members include the PCO, a representative for the customer, a representative for the contractor, and one COR. The COR, the PCO, and the customer representative are all full-time government employees. The COR's only job in Social Network C is to perform the duties of a COR. All members of Social Network C work in separate locations (i.e., different offices and buildings). However, the COR, customer representative, and contractor representative are located on the same military installation. The PCO is located a couple of miles away from the military installation in a DoD regional services building. The PCO, the customer representative, and the contractor representative also have their own, separate social networks they communicate with while managing and executing the food service contract.
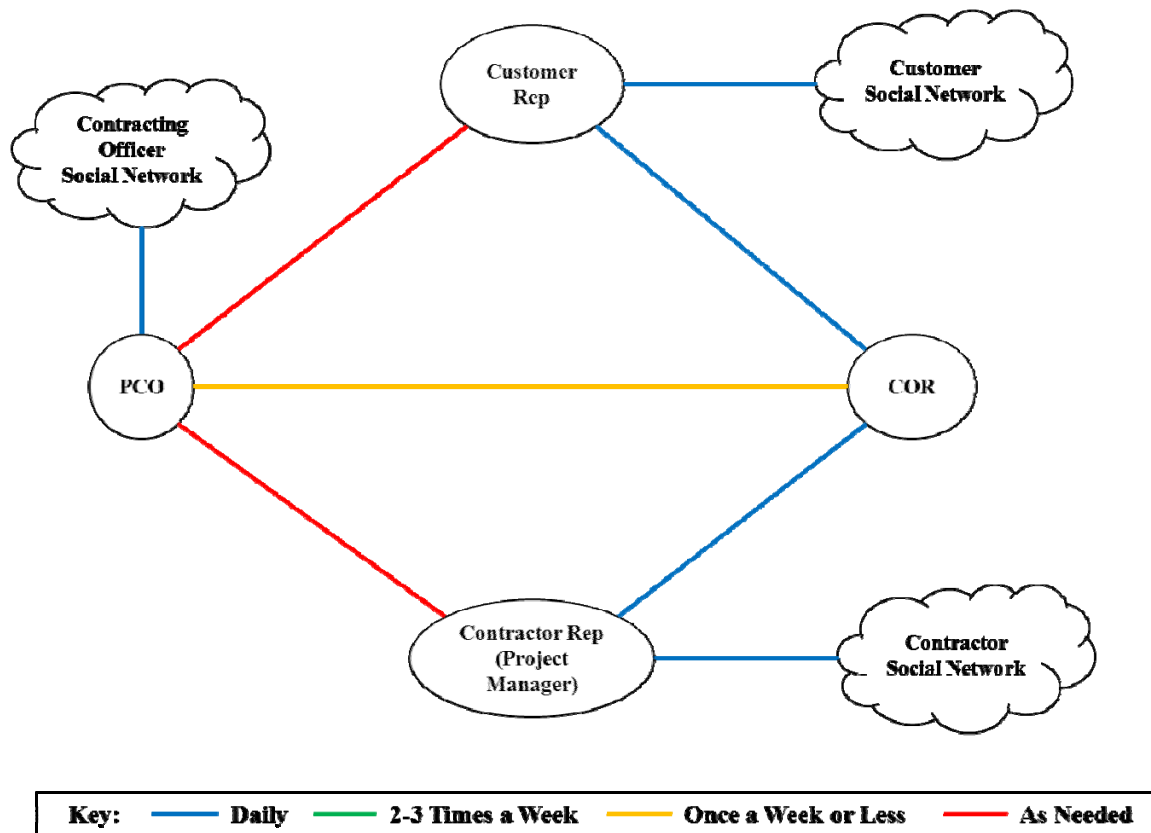
Figure 8. Graph of Contracting Officer's Representative Social Network C

2. Member Roles and Responsibilities

The PCO for Social Network C performs functions similar to the PCOs for Social Networks A and B. The PCO manages the food service contract from the perspective of the government and is responsible for ensuring that the contractor is adequately performing the duties outlined in the service contract and that the government is receiving the services it is paying for. The PCO assigned a COR to this service contract to monitor and inspect the performance of the contractor on the PCO's behalf.

The primary duty of the COR assigned to this service contract is to conduct inspections of the contractor at the two dining facilities. During each inspection, the COR uses a QASP that outlines exactly what the COR will look at during the inspection and how it will be evaluated. During this surveillance, some of the tasks the COR inspects include the contractor's administration activities, meal preparation, meal serving, meal clean up, and sanitation. The purpose of these inspections is to monitor the

contractor's performance. The COR notifies the contractor of deficiencies observed during surveillance and direct appropriate action to effect correction. He also records and reports to the PCO incidents of faulty or nonconforming work, delays, or problems. At the end of the month, the COR submits a monthly report to the PCO concerning performance of services rendered under this contract. Additionally, the COR is responsible for maintaining liaison and direct communications with the contractor and customer representative, coordinating site entry for contractor personnel, and ensuring that government-furnished property is available when required. Finally, the COR is responsible for maintaining adequate records to sufficiently describe the performance of these duties during the life of the contract. At a minimum, the file must contain

- a copy of the appointment letter as a COR,
- a copy of the contract,
- a copy of the QASP,
- any correspondence concerning performance of the contract,
- names and position titles of individuals who serve on the contract administration team,
- a record of inspections performed and results,
- memoranda for record or minutes of any performance conferences,
- memoranda for record of minutes of any meetings and discussions with the contractor,
- applicable laboratory test reports,
- records relating to the contractor's quality control system and plan and the results of the quality control effort,
- a copy of the surveillance schedule, and
- documentation pertaining to the acceptance of performance services.

The customer representative primarily monitors the service contract from the perspective of the customer and ensures that the current service contract satisfies the needs of the customers who utilize the dining facilities.

The contractor representative's primary role is to ensure that the employees of the contractor are providing all services as outlined in the contract.

3. Network Communication

The PCO for Social Network C primarily communicates with the COR to manage and monitor the performance of the contractor for this service contract. The only time the PCO converses with the contractor or customer representatives is when there are any major issues and if the contract is going to be modified. The PCO typically communicates with the COR about once a month to check on the status of the service and to go over the monthly report that the COR submits. The PCO's primary means of communication is e-mail, followed by telephone due to the considerable distance between the PCO's office and the COR's office. The information shared between the PCO and the COR includes whether or not the contractor is meeting the requirements of the contract, feedback from the customers and students, and whether or not the customers and students are satisfied with the level of service they are receiving from the contractor.

The COR most frequently communicates with the customer and contractor representatives. The COR communicates with these individuals daily, if not every other day of the week and sometimes on the weekend. The COR talks with the contractor representative primarily about contract issues, rations issues, facilities inspections, quality control evaluations and equipment issues. When conversing with the contractor representative, the COR mainly uses face-to-face interaction, followed by e-mail and telephone, as the primary means of communication. The use of face-to-face interaction is mostly due to the fact the contractor representative has offices in both facilities, and the COR is in one of the dining facilities almost daily. The COR talks with the customer representative mainly about any issues with the contract, issues discovered during inspections, the schedule for the dining facilities, and whether there are any funding issues. The customer representative primarily uses the telephone when communicating with the COR, followed by e-mail, as a means of documentation.

The customer and contractor representatives typically do not communicate with each other. If there are any issues, the customer or contractor representative goes to the COR to address to problem.

F.   SOCIAL NETWORK ANALYSIS

Social Network A is a robust and complex network of individuals where all members have the same essential mission, to manage the service contract from their perspectives. The large number of CORs assigned to this service contract, eight in this case, greatly contributes to oversight of the contractor. If Social Network A had fewer CORs, the CORs would find it very difficult to adequately inspect the contractor's performance in the 14 dining facilities spread across the military installation.   The additional CORs also contribute to the networks ability to conduct management functions in addition to surveillance, such as financial oversight, management of the QASP, and other administrative duties for the office.

A key attribute for efficient and effective oversight of the service contract is communication. Communication is very active in Social Network A, with the CORs at the center functioning as the information broker for the rest of the network. The CORs are the only members in the network that frequently communicate with all the other members of the network. The CORs communicate with each other on a daily basis, assisted by the fact they are all located in the same office. Additionally, the CORs communicate frequently with the contractor representative during the course of their surveillance. Being located in the same building also contributes to the frequency of communication between the CORs and the contractor. A result I observed based on the frequency of communication in Social Network A is that all members in the network are aware of what oversight is conducted, and they are confident that the oversight is contributing to the success of this service contract.

Another influential attribute of Social Network A is the duty and experience of the CORs. All the CORs in this network have the sole duty of performing the functions of a COR. All the CORs also received extensive training on how to perform the functions of a COR. Additionally, many of the CORs have previously served in the military in food operations or have served as a COR in the past. The past experience and expertise of these individuals contributes to their knowledge and ability to perform as CORs. Finally, many of the CORs are government employees, meaning that they do not

transition between jobs or military installations as frequently as their military counterparts and can stay in their current position for longer periods of time.

Social Network B is not as complex as Social Network A, but it still has multiple CORs within the network. Similar to Social Network A, the multiple CORs in Social Network B contribute to the oversight of the service contract. Surveillance of the contractor is distributed between the three CORs. Additionally, the large number of CORs allows one of them to focus on financial oversight of the service contract while another focuses on administrative functions in addition to surveillance.

Communication within Social Network B is reasonably active. As I observed in Social Network A, the CORs in Social Network B function as information brokers for the network. They are the only members of Social Network B that frequently communicate with the other members of the network. The CORs converse with each other and the contractor on a daily basis. They also communicate with the customer representative about twice a week and the PCO at least once a week. Having the CORs in the same office, and having the CORs, the customer rep, and the contractor representative in the same building, contributes to the frequency of communication in the network. As with communication in the Social Network A, the members of Social Network B are aware of what oversight is conducted and are confident that the oversight contributes to the success of this service.

The CORs of Social Network B are also full-time government employees whose only duty is to perform the functions of a COR. This allows them to focus all of their effort and time on oversight of the contractor and ultimately the service contract. Additionally, the three CORs have extensive experience from prior military service and have served as CORs for other service contracts, all of which contributes to successful oversight of the contract.

Social Network C is the least complex of the three social networks I studied. There are only four main members of this network: the PCO, COR, customer representative, and contractor representative. The one COR in this network performs functions similar to the CORs of the other two social networks but to a much lesser degree. The COR of Social Network C has to inspect the contractor's performance in

only two dining facilities. However, because there is only one COR in this network, the COR cannot conduct the same number of tasks to the same level of efficiency and effectiveness as the CORs in the other social networks. During the course of this study, I was unable to interview the COR of Social Network C because he was too overloaded with work as a COR and had no time available to sit down and talk with me.

Communication within Social Network C is relatively active, though to a lesser degree compared to the other two social networks. The COR frequently communicates with the customer and contractor representative on an almost daily basis but with the PCO only about once a month. Much like with social networks A and B, the COR in Social Network C is the information broker for the network, communicating with each member on a regular basis. Despite the lesser frequency of communication within Social Network C, I still observed that the members are aware of what oversight is conducted and are confident the oversight contributes to the success of this service. Finally, the COR in Social Network C is a full-time government employee whose only duty is to perform the functions of a COR. As observed in the other two social networks, this COR has experience from his active duty time and has served as a COR in the past.

G.   CONCLUSION

In this chapter, I presented the data that I collected from interviews with members of each of the three social networks studied. In the first section of this chapter, I described the two military installations where the social networks studied reside. In the preceding sections, I used information from the interviews to answer the secondary research questions that I proposed in Chapter I of this report for each of the three social networks. I concluded this chapter with an analysis of the three social networks. In Chapter V of this report, I use the analysis of the social networks to answer the primary research question proposed for this study.

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V. SUMMARY, CONCLUSION, AND AREAS FOR FUTURE RESEARCH

A. SUMMARY

The purpose of this research study was to further previous studies in DoD services acquisition management conducted through the Acquisition Research Program at the Naval Postgraduate School. I designed this study to focus on an area neglected by these previous studies, the CORs' and their social networks. My goal was to answer one primary and four secondary research questions related to services acquisition in order to gain a better understanding of the effects the CORs' social networks have on the surveillance of the service contract. Because this study is in an area where little research has been conducted, I intended to create a foundation of information on the CORs' social networks and hope this research will serve as a template for future studies of the COR.

In Chapter I, I provided an overview of this study and some background information to establish the requirement for this research. In the literature review found in Chapter II, I discussed research published by the GAO, DoDIG, DSB, and other agencies on services acquisition management and contract oversight to discuss relevant and current research that contributed to this study. In Chapter III, I presented my methodology for data collection and analysis. I examined three social networks at two different military installations and collected information from interviews with members of each social network using interview questions developed to gather specific types of data (see Appendix A). In Chapter IV, I presented the results and analysis from the interviews. In the remainder of this chapter, I compare the three social networks to answer the primary research question of this study.

## B. CONCLUSION

1. Research Findings

This study answered the following research questions for each social network studied:

1) What is the structure of the CORs' social network, and which members are included in it?

2) What role and responsibilities does each member within the network have with regards to the management of the service contract?

3) How does communication transpire between each member of the social network, what information is shared, and how often does communication occur?

4) What conclusions can be drawn from the analysis of each social network?

With regards to the first question, I observed a different network structure for each of the three COR social networks that I examined. Each network had a different number of members that comprised it. Social Network A, the most complex of the three, had 10 members included in the network, while Social Network B had only seven members and Social Network C, the simplest of the three networks, had only four members. The number of CORs assigned to the service contract also varied among the networks. Social Network A had eight CORs, Social Network B had three CORs, and Social Network C had only one COR assigned.

There are a few attributes that the social networks have in common. First, the concerns and perspectives of the government, customer, and contractor are all represented by certain members in each social network. Second, the PCOs, customer representatives, and contractor representatives in each network have a separate social network with which they interact while performing their duties with regard to the service contract. Third, the PCOs worked on parts of the military installation separate from the CORs, in some cases separated by several miles. Additionally, in two of the three social networks, the CORs all worked together in the same office, and their office was located in the same building as the customer and contractor representatives. Finally, all of the CORs except three were full-time government employees with extensive knowledge and experience from their active duty time or from serving as a COR in the past.

For the second question, I observed that in each social network the PCO, the customer representative, and the contractor representative performed the same function for the most part with regards to the service contract. The PCOs managed the contract from the government's perspective and made any modifications to the contract if needed. The customer representatives were from the organization that required the service, and

their main concern was that the service provided by the contractor met the organization's need. The contractor representatives' main concern was to provide the service as outlined in the service contract.

In each social network, the CORs' main task was to assist the PCO in managing and overseeing the service contract. However, the manner in which the CORs accomplished this task varied among the social networks. For example, the number of CORs in Social Networks A and B allowed certain CORs to focus less on contractor surveillance and more on other administrative functions, such as finances. With only one COR in Social Network C, he cannot perform the same number of administrative tasks to the same level of effort as the CORs in Social Networks A and B. This issue can lead to inadequate surveillance of the contractor by the COR and ultimately poor performance from the service contract.

With respect to the third question, I observed in every social network that the COR acted as the information broker for the entire network. The CORs were the only members in each network that regularly communicated with the other members of the network, some more frequently than others. They communicated with the customer representative in their network on a daily basis and the customer representative on a daily or semi-daily basis. The CORs communicated with their PCOs at least once a week, except for in Social Network C, where communication occurred on a monthly basis. Additionally, the PCOs communicated only with the customer representative or the contractor representative if there was an issue with the contract or the contractor's performance of the service. The customer representative typically did not communicate with the contractor at all, except in Social Network A where the customer representative was also a COR.

With regards to communication, the three social networks had some similarities that I believe contributed to the success of the contracts: practically all the people involved were on the same installation (most in the same building and many of them in the same office) which allowed for frequent communication as presented in the network communications in Chapter IV. In all three social networks, e-mail was the preferred means of communication, followed by telephone and face-to-face interaction. E-mail

served as a way to document communications that occurred between members of the network in case any issues developed with the service contract. Each member in the network used e-mail to communicate with other members significantly more often than telephone or face-to-face interactions, except in cases where members were located in the same office. In these instances, face-to-face communication was the preferred method due to the proximity of members to each other. Based on my observations, I believe the high frequency of communication that occurred in all three social networks contributed to the successful management and surveillance of each service contract.

With regards to the fourth question, the analysis I conducted for each social network ultimately contributes towards answering the primary research question in this study: What effects do attributes of the CORs' social network have on surveillance of the service contract? Based on my observations and interviews with members of the social networks, I conclude that there are a few key attributes of the social network that have an effect on the surveillance of the contract. These attributes are communication within the network, knowledge and experience of the CORs, oversight of the CORs, and the ability of the CORs to focus solely on performing COR duties.

I believe that communication between the COR and the other members of the social network is one of the most important attributes I observed that affects contractor surveillance. According to my observations, the members of each social network felt that the COR was adequately monitoring the performance of the contractor. Also, because they were satisfied with contractor surveillance, they believed the service contract was operating successfully. I attribute these observations to the active communication within each of the social networks. In all three networks, the CORs were the most active communicators compared to the other members. They conversed with the contractor representatives daily. Additionally, they communicated with the customer representative and the PCO at least once a week, sometimes every other day. As the information broker for the network, the more frequently the CORs communicate with other members in the network, the more information is shared, which increases awareness of the CORs' surveillance.

The knowledge of essential tasks and the past experience of the COR is another important attribute that can impact contractor surveillance and oversight. In all three social networks, I observed that the CORs previously served as a COR on a different service contract. The CORs also had several certifications from courses they completed either at their military installation or through the Defense Acquisition University (DAU). Additionally, many of the CORs previously served in the military and had a military occupation specialty (MOS) similar to the service contract they were assigned to, making them technical experts. From these observations, I conclude that the CORs' knowledge and past experience in COR functions greatly contributed to their efficiency and effectiveness in oversight of the contractor's performance.

As previously discussed in this section, the knowledge and experience of the CORs is vital to their ability to function as CORs. However, just as important is the oversight of the CORs. I observed that the PCOs, or someone from their office, conducted random surveillance on the CORs themselves. During my interviews, the CORs each expressed that they knew how their performance as a COR was evaluated and that they would randomly be observed by the PCO or someone from the PCO's office. The surveillances served three functions. First, they served as a tool for the PCOs to use to ensure that the CORs were adequately performing the duties required of them. Second, the surveillances provided feedback to the CORs to let them know what tasks they were doing well and which ones they needed to improve on. Last, the surveillances were documented, which assisted the CORs' supervisor with evaluations for the CORs.

The last key social network attribute I observed is the CORs' time to perform COR functions. In all three social networks, the individuals assigned as CORs to the service contract did not have additional duties outside the scope of their COR duties. In other words, their primary duty to the organization they belonged to was to function as a COR. There are a multitude of tasks associated with being a COR, many of which are quite time consuming. There are cases where individuals were assigned to perform COR functions but as an additional duty. This can create a conflict between the time it requires these individuals to perform their primary duties and the additional duties of a COR. The CORs I observed were able to focus solely on the tasks they needed to accomplish as a

COR, some that are very complex, technical, and timely. The time available to the CORs to perform their duties ultimately contributed to their effectiveness and efficiency with assisting the PCO in managing and overseeing the service contract.

2. Recommendations

Based on my observations and interviews with members of each social network, I conclude that the COR is one of the most important members in the network. The CORs are so important due to the information they have access to and their frequent communication with the other members of the network. Because of their importance, it is essential that the PCOs take great care and consideration when they assign a COR to a service contract.

My first recommendation is for the PCO to select individuals to serve as CORs based on their past experience or technical knowledge in the same field as the service contract. Preferably, the individual has served as a COR in the past; however, if individuals assigned as a COR are not very knowledgeable about the COR's role and responsibilities, they can learn how to function as a COR through the many classes DAU offers and by closely working with the other CORs, which happened in the first two scenarios. Additionally, the PCO needs to ensure that the CORs have an excellent QASP available to them, which outlines exactly how they are to inspect the performance of the contractor. Last, the PCO must ensure that the CORs understand all the tasks they need to complete and what is expected of them.

My second recommendation is for the requesting agency, who typically provides the individual who will serve as a COR, not to assign the duties of a COR as an additional duty. The myriad of tasks required of the COR can be very complex and time consuming. If individuals serving as CORs are not able put all their time and effort towards those tasks, then they will not function effectively as CORs. This can lead to several negative outcomes, including poor performance by the contractor, the needs of the requesting agency not being satisfied, and the government not fully receiving the service it is paying for.

My third recommendation is for the PCO to express the importance of communication to the individual assigned as a COR. The CORs in every network I observed were extremely active with regards to communication. They frequently communicated with everyone in the network and shared the information they had about the service with each of these members. By knowing the current status of the service contract, each member in the network was confident that the contractor's performance was being monitored, the interests of the requesting agency and the government were protected, and the service contract was overall a success.

C.   AREAS FOR FUTURE RESEARCH

During the course of this research, I studied only three COR social networks from two branches of the military, the Army and the Air Force. The social networks also reside on only two military installations. I suggest future research of COR social networks include the other two branches of the military and different military installations. Further, additional research should be expanded to include different contract service types other than the ones examined during this study.

I identified a few key attributes of the social network that I believe influence the surveillance of the contractor. Increasing the number of social networks studied and expanding the scope to include all branches of the military may confirm my conclusions or identify additional attributes that I did not consider.

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APPENDIX A: INTERVIEW QUESTIONS

Procurement Contracting Officer

1. What is your role with regards to this service contract?
2. Who are your primary contacts in regards to this service contract?
3. Who communicates with you in regards to this service contract?
4. How often do you communicate with each of these people (daily, 3-4 times a week, 1 time a week, 2-3 times a month, once a month, quarterly, when the need arises)?
5. What means of communication do you use with each of these people (i.e. in person, telephone, email)?
6. What reasons do you communicate with each of these people?
7. What types of information do you share with each of these people?
8. Is there a published plan on how and when communication should occur with each of these people?
9. Do you file or store a record of communication with any of these people for historical reference? If so how are you storing these records?
10. How do you monitor the status of the service contract?
11. What monitoring / surveillance of the contractor are you aware of?
12. Is it based on the Quality Assurance Surveillance Plan or something else?
13. Is there any additional information you would like to include in this research relevant to communication within this social network?

Contracting Officer's Representative

1. What is your role with regards to this service contract?
2. Who are your primary contacts in regards to this service contract?
3. How often do you communicate with each of these people (daily, 3-4 times a week, 1 time a week, 2-3 times a month, once a month, quarterly, when the need arises)?
4. What means of communication do you use with each of these people (i.e. in person, telephone, email)?
5. What reasons do you communicate with each of these people?
6. What types of information do you share with each of these people?
7. What point in the service contract's lifecycle were you appointed as the COR?
8. What training did you receive to perform your duties as the COR?
9. How is your performance as a COR monitored?
10. How do you monitor the status of the service contract?
11. What surveillance is conducted on the contractor?

12. Do you have a Quality Assurance Surveillance Plan you use when monitoring the contract? If not what document do you use?
13. Is there any additional information you would like to include in this research relevant to communication within this social network?

Customer Receiving Service

1. Who are your primary contacts in regards to this service contract?
2. Who communicates with you in regards to this service contract?
3. How often do you communicate with each of these people (daily, 3-4 times a week, 1 time a week, 2-3 times a month, once a month, quarterly, when the need arises)?
4. What means of communication do you use with each of these people (i.e. in person, telephone, email)?
5. What reasons do you communicate with each of these people?
6. What types of information do you share with each of these people?
7. How do you monitor the status of the service contract?
8. What monitoring / surveillance of the contractor are you aware of?
9. Is it based on the Quality Assurance Surveillance Plan or something else?
10. Is there any additional information you would like to include in this research relevant to communication within this social network?

Contractor Providing Service

1. Who are your primary contacts in regards to this service contract?
2. Who communicates with you in regards to this service contract?
3. How often do you communicate with each of these people (daily, 3-4 times a week, 1 time a week, 2-3 times a month, once a month, quarterly, when the need arises)?
4. What means of communication do you use with each of these people (i.e. in person, telephone, email)?
5. What reasons do you communicate with each of these people?
6. What types of information do you share with each of these people?
7. How do you monitor the status of the service contract?
8. Do you think communication is helping with performance of the service contract?
9. What monitoring / surveillance of the contractor are you aware of?
10. Is it based on the Quality Assurance Surveillance Plan or something else?
11. Is there any additional information you would like to include in this research relevant to communication within this social network?

APPENDIX B: COR SOCIAL NETWORK A INTERVIEWS

Procurement Contracting Officer

Q: Could you start off by just briefly describing the contract a little bit and what it does and what it serves?

PCO: I am the contracting officer for the Lackland Air Force Base food service contract. It's the largest contract in the Air Force and we provide food service for all the basic military training students here and also technical training students, and that's why we're the largest. We have about 14 dining facilities, 1 flight kitchen, 2 warehouses, and we're co-located at Lackland, the Training Annex, and at Camp Bullis.

Q: As the primary contracting officer, who are the main points of contact that you have that you go to or that you communicate with.

PCO: As the contracting officer and my contracting administrator, we mostly interact with [the food service operations manager], and his assistant manager. Any time we need anything, we go through them. If we're dealing with the contractor, we deal directly with the contract manager for the contractor and we always keep [the food service operations manager] in the loop of everything we're doing. We don't communicate directly with the contractor without the food service manager knowing, because he is a big part of the operation and because they're technical experts and we want to make sure we're not doing anything without their knowledge.

Q: What is [the food service manager's] role?

PCO: He's the food service operations manager, so he's also a COR for this. They have six CORs total, so he oversees them and he just oversees the whole operation of it.

Q: So he's responsible for basically all the food services here on base.

PCO: Yes, and making sure that—he's the one that manages the contract from the customer's point of view. If there is a need for a mod, he'll get with us. If there are any discrepancies with the contractor, he'll coordinate with us.

Q: So you only communicate with the contractor if need be and that's only if they bring up an issue with you.

PCO: Yes.

Q: How often do you communicate with each of these people? For example, as the main COR, how often do you talk to him or how often do you talk to the other people?

PCO: We talk to him several times a week just because we have a current contract with them and we're in the process of procuring a new food service contract when this one ends. We have an older contract that we're trying to close out for them and with this amount of dining facilities and the amount of employees that the contractor has—they have over 600 employees—there is always something going on, so it's several times a week, almost daily.

Q: You mainly talk with him? You don't talk with the CORs that work for him or that are communicating with him?

PCO: Most likely. Most of the time we don't, it's mainly through him. If we correspond with the CORs, it's mainly for training related or if we're going to do surveillance on them. Every month we go out and we survey one of the CORs just to see how they're doing in their jobs and we document our findings.

Q: What are the main means of communication that you use with these individuals, such as email, face to face, telephone?

PCO: All three. Mainly, we do emails, only because they're in a different building. When we have meetings with them, we like to do it face to face. Sometimes we'll send an email and then follow up with a phone call. Or if we need more information than what they can put in an email, we'll call them.

Q: The CORs that work for [the food service manager], are they co-located in the same building or he have his own office and they are located in different places around the base?

PCO: I believe they're all in the same building. Our food service, they're like two buildings down from us and most of them work out of that building, to my knowledge.

Q: What reasons do you have for communicating with each of these individuals? For example, you say you talk with them on sometimes a daily basis, but is there some reason you talk to them or is there certain information that you want them to give you that they're giving you every—?

PCO: There are just a lot of duties that are involved with contract administration, especially with the new food service procurement. There are always questions that we have, whether it is about our surveillance that they're doing or a problem with the contractor, sometimes we will correspond with them. For example, on occasion they'll get a complaint—the contractor will get a complaint from one of the basic military trainees, whether it is that they felt uncomfortable or the

contractor may have done something that was deemed inappropriate and then the contractor has to investigate. The contract manager has to go out there and investigate and see what happened and get the facts, and then he will deal with his employees. So, we have to correspond with [the food service manager] to see what happened from the government side of view and if we need to issue any documentation to the contractor, we'll do that. Any letters of concern or if we need questions answered, we'll go through [the food service manager].

Q: Do you have a published plan on how often all these members are supposed to communicate with each other or is it an agreement between you and everyone else when you're going to talk or just as something comes up?

PCO: As things come up. There is nothing in writing that says that we'll correspond with our customer or the CORs or even the contractor at a certain time. It's just the daily interactions to do our jobs to make sure that they're overseeing the contractor as they should.

Q: You mentioned complaints that happen on occasion against the contractor. Do you keep a record of communication you have with regards to this type of thing?

PCO: Absolutely. Anything that happens during the contract performance, that's considered an official record, whether it's an email or it's a typed document, a memorandum for record, or even like a telephone conference we can go back and write a memo to document what happened and that becomes part of the official contract file, so we have to keep those—because of the dollar amount of those, we keep those for six years and 3 months after the final payment of the contract.

Q: And you keep that all with the file?

PCO: Yes. We have several binders. Our last food service contract was for five years. We had approximately 30 plus binders for that one contract.

Q: How do you monitor the status of the service contract? Mainly through [the food service manager]?

PCO: Yes, through the service manager and his eight CORs. They have a schedule that they give to us every month and it's a color coded schedule that's listed by COR and it shows the different dining facilities and the two warehouses and flight kitchen, and it's all times of the day you can go in there and see. There are several facilities being inspected each day and throughout the night too. So, we get that every month so we know where the CORs are and what time and at what building they're going to be at, and my contract administrator, she'll pick a date each month and she'll go visit one. She can either coordinate with them or sometimes she just likes to surprise them. She'll just walk in just to make sure that they're really there when they said they were going to be there and they're really going through the steps that they're supposed to be going through.

Q: The surveillance being conducted on the contractor, is there a published QASP that they're using so that the CORs know exactly what they're looking for and exactly what the contractor is supposed to be doing?

PCO: Yes. Our contract has a performance work statement which is all performance based and in that performance work statement we have the service summary and it has 13 performance objectives and those are really what the CORs are looking for each month. Those 13 performance objectives are also included in the QASP. On top of that, the contractor has a written quality control plan that's their written guarantee that they're going to make sure they're filling the contract.

Q: Based on your communication with [the food service manager] and then the monitoring of the CORs, how well do you feel that the contractors are being monitored?

PCO: I'm very confident. I feel very fortunate on this particular contract because of the service manager and his staff. They are very good people, very dedicated to the mission and very knowledgeable. Also, we have a great contractor. Like I said before, there are over 600 contractor employees and, of course, at some point you're going to get somebody getting dumb or doing something they aren't supposed to be doing. For example, we hear once in a while that contractor employees will try to come through the gate and they have drugs on them or they are under the influence of drugs, so, of course, they don't get on, but we hear about that. Those employees are 99% of the time terminated by their program manager.

Q: Last question, is there any additional information that you think would be beneficial for me and my research with regards to the COR and how communication occurs between you and all the other people involved with the contract?

PCO: I think it would be helpful to get it from the COR's point of view. Any feedback they may have. Do they feel that they're getting properly trained by contracting? Do they feel they have adequate oversight from contracting guidance? That's the main thing. Do they feel that they have adequate training to do their jobs as a COR? And do they have any questions or need anything else from contracting? That's the main thing. We have what we call a compliance inspection. Our inspector general comes out every two years to each base and they do an inspection on various things, all aspects of contracting, and I believe in 2010 some of our customers—there were three customers out there who didn't do so well on their inspection as far as contractor oversight went. It wasn't a contracting write up. It was actually that customer; for example, LRS or OSS, because they were not overseeing their contractor correctly. So, my question is what could contracting have done? Could we have been more involved to help them out throughout the whole process from day one of the contract to make sure

they are overseeing the contractor correctly? That way they could have avoided those write ups.

Contracting Officer's Representative 2

Q: The first question I have is with regards to the service contract, who are your—as a COR, who are your main points of contact, the people that you communicate and talk to with?

COR: As far as contracting, like the contracting officer?

Q: Anyone that's connected to the service contract.

COR: Administrator, yeah. I basically deal with—well, actually a lot of them. The project manager and their accountants, and actually everybody that works on the contract we deal with. When we talk to them, we try not to talk to the workers as far as when we have a question. So, I have contact with the workers, but I don't direct them. I usually go to the supervisor or manager and I also get with the project manager. I also deal directly the contractor administrator, and also the contracting officer. Now, are you talking about anything on the whole contract, because we deal with about everybody on the base and all the customers? Is that what you're talking about?

Q: Yes, the main people that you go to. I know that the service manager is the main COR, but you also serve COR duties as well. Do you have a certificate saying that you're assigned to the COR.?

COR: Yeah. And I do surveillance. I only do about three surveillances a month because my main thing I do is contract modifications and maintain the budget part of it and other parts of it. We only have two main people whose only job is going out and doing surveillances. Everybody else has surveillances that are mixed in with other duties.   We have one person that does resources and he also does surveillances. One person has accounting and surveillances.

Q: How often would you say you communicate with a these people?

COR: Like every day—every day and sometimes on the weekend. Like, if something goes active on the weekends we get called. The project managers have two assistant project managers and one of them are usually on duty on the weekend, so if anything comes up that is out of the norm, they'll contact us at home and we contact our leadership. If something silly, like the power goes out, we always contact our leadership because they find out from us and not the other way around from their leadership wanting to know what's going on. So, every day we're talking to them. Contracting—contracting a lot, because we're in the middle of

doing our current—renewing our contract, so we have contact with them every day pretty much.

Q: What means of communication do you use? Like email, face-to-face?

COR: Emails, telephones, pretty much. Face-to-face, I don't know what that is.

Q: Just in person.

COR: Oh, yeah, we do that probably once or twice a week. And then if they have any kinds of questions or we need to go look at something, we'll go see them. Upstairs —our contractor's office is upstairs, so pretty much every day we'll go pop up there and, you know, go see them.

Q: What types of information are you sharing with the different people that you're talking to?

COR: With contracting, it mostly has to do with the contract itself. Right now we're working on a contract, so everything with renewing the new contract or the PWS we have to renew. They want 409s—everything. The day to day operations— what do we talk to them about? Everything. When it comes to like gas outages, in fact, I've been on the phone all morning with them about gas outages coming up because we're the link between—we're not only just watching what they're doing, we're also the link between. If BMT (basic military training) has something going on as far as scheduling, like they need us to open the dining facility earlier, we coordinate that between our customers and our contractor.

Q: What point in the service contract's life cycle where you were appointed as a COR?

COR: The beginning. We were on from day one. We were actually on the source selection—you know where you sit on the board and stuff—we were actually there from day one.

Q: So, as a COR you've been personally on it pretty much from the very beginning.

COR: Yes.

Q: What training did you receive to perform your duties with the COR?

COR: Well, we had the initial—well, way back when, because I've been doing this for a long while, we had initial training. But when we switched over from the Air Force, which was QAEs and then we switched over to COR, they switched over all the training so we had a bunch of databases, you know, the ones on line— online training to do.

Q: The ones through Defense Acquisition University (DAU)?

COR: Yes. I just know they gave us a whole list of them. Then we also had Phase 2 training where they actually come in and when we have—well, we just went into a bridge contract. When they switched over to the bridge, they had to come over and do Phase 2 again. And then I think with Phase 1—Phase 1 was good when you first had it, but I think it was something switched when we did something with the COR.

Q: How adequately do you feel that training prepared you for the duties you do as a COR?

COR: You know, we've been doing it for so long. You know, on the job training was the best. We just kind of like—I've been doing this since '95.

Q: Sounds like you've been—before taking that training, you've been doing COR duties for quite a while, so you have a lot of experience from before.

COR: Yeah, so when we did that training, it was just kind of like, okay, okay, okay.

Q: How is your performance as a COR monitored?

COR: Our contracting will send over—they spot check people to make sure that you go—they do a surveillance on us to make sure we're in there and then they are checking everything we do. Also, our flight chief comes in and he'll do a surveillance as a spot check. He'll pick somebody and they'll make sure he knows everything. And, then, of course, our bosses check to make sure. What they do is he goes through the write ups and everything.

Q: What are you doing to monitor the contract?

COR: Every day we go into a dining facility—every day, every day. Like I said, I only have three official surveillances a month—approximately three official surveillances a month, but I also go into the dining hall, unofficially, every day. Because we have so many facilities, what we do is we track them. We track which facilities we've been to and how long we haven't been to one, and so we go into one and we actually go in to eat lunch. But then we also—while we're in there we go through the facility to make sure everything—and we actually have to trust all of our CORs to make sure that they come in and tell us what's going on too. I check on the people that are monitoring the contract. Does that make sense? They fall under me. So, they usually come and tell us what's going on, because we can't get out to all the facilities and stuff. So, when something is not going right, they come and tell us and then we'll go out there to make sure and then we'll go in and fix it and then we'll take it to the project manager.

Q: From what I understand in this office you have kind of the primary COR being [the food service manager] and then you have six assistant CORs. Of the six, how many are the ones that their sole job is performing surveillance?

COR: Well, actually, one person solely does, and that's all he does. He doesn't have any other duties but to go out and do surveillances. We have another position that we're hiring, because the one person got picked up over at Ft. Sam, so we have another civilian position vacant. Our two military are straight up CORs, but they also pick up other things because they need training—their sole thing is CORs, but we give them additional stuff so they actually learn when they go to their next base. Another person in this office does our purchases and he's a COR, so he probably has about five or six surveillances, but he takes care of all our resources stuff. Another person is basically the quality rep—he's in charge of the surveillance. He puts out the schedules and makes sure everything—all the books are put together and contracting has everything they need as far as their monthly paperwork and monthly stuff. And then I work for [the food service manger] as his assistant. He doesn't go out on any surveillances. He goes out like me, every day and wherever. I think that covers everybody. We have eight people in our office.

Q: Do you have a quality assurance surveillance plan that you use when monitoring the contract?

COR: Yes. What happens is we have books for every facility. We have a book set up for every facility and so when we go out we take that book and it has everything in there, the surveillance—it has a PWS and has everything in there, and then it has surveillances that everybody has done prior to that so you can see what somebody else has seen so you can take a look at what they've written up.

Q: Last question, is there any additional information with regards to communication from your perspective as a COR that you think would contribute to my research?

COR: I can't think of anything, unless you ask me something specific. I can't think of anything.

Contracting Officer's Representative 3

Q: Let me start off by asking, from the perspective of a COR, who are your primary go-to points of contact for this particular service contract?

COR: The CORs in the office. I'm a junior COR, you know, so I go to them if I have any questions on anything or with the contract, I'll go to them first.

Q: How often are you communicating with these people? I assume daily since you're all in the same office.

COR: Yes, sir.

Q: What means of communication are you using? Obviously, in person since you're here, but do you also do telephone and email as well?

COR: Email. I use email and just in person.

Q: What reasons do you have to communicate with these people?

COR: Mainly, if I have a question or something comes up while I'm doing it, like surveillance or a question about the contract or I see something and I have a question about it, I go to them. If I've done something like wrote a PO violation up, I'll go to them and let them know and get their opinion on it, you know, if I've done the right thing, write up or so forth. That's kind of why I go to them.

Q: As a COR, what types of duty are you performing with this particular contract?

COR: Basically, to just do surveillance and go and make sure they're following the contract to the letter. I go and do actual surveillances at the dining facilities with our checklist and just observe them.

Q: I see, you have a QASP that you use?

COR: Yes.

Q: What point in the service contract's life cycle were you appointed? Had it already been awarded?

COR: Yes.

Q: What type of training did you receive prior to your duties as a COR?

COR: As in training as a COR or training as—?

Q: Training specifically for what you would do as a COR.

COR: Well, I've done the QAE previously several years ago. I did that and that gave me some training, but also computer based training.

Q: Are those the classes through DAU?

COR: Yes.

Q: So, prior to assuming the role of a COR in this particular service contract, you had already had some experience as a COR?

COR: Yes, as a COR. In previous years, I've done it and deployed. Back then we didn't have any computer based training that we did, but in 2001, when I was deployed, I did QAE, I guess, COR now, but we called it QAE back then. I did it then.

Q: As a COR, how is your performance monitored?

COR: From the contracting office. Well, here, they make sure and they go through everything I've done and all my write ups, you know, but also the contracting office randomly will go and inspect us pretty much.

Q: How are you monitoring the status of the service contract?

COR: That's a good question. I really don't monitor too—like the status of the contract?

Q: Right. You're the one that is going down and actually performing the performance of the contractor to make sure that they're—

COR: Right.

Q: So, you're the one doing the surveillance on them?

COR: Yes.

Contracting Officer Representative 4

Q: Let me start off by asking what duties you perform as a COR on this particular service contract?

COR: My specific duty is actually to go out with the CORs on actual inspections of the contractor and try to provide any guidance and clarify any issues at hand that we might find when we are out in the field. I also do processing of all contractor payments. The middle and beginning of each month, we go line by line and they have to provide me with all the written documentations to support the building, i.e. uniform issues, and that's the listing of uniforms by individual and what they got, to see if the price is broken down and out. Also, I receive all the expendable supplies that are used that the government reimburses the contractor for. That's listed out by building, so I get to see the actual price for each and every item. And then also additional documents that are required are the—I've gone brain dead here for a second. Oh, parts reimbursements, because our current contractor provides all the maintenance on our equipment, so they provide us a listing of all equipment items, washers, screws, or whatever it may be, and then I go down all those to verify all those billings to make sure it matches what is on the invoice

each and every month. Those are my biggest duties directly related to the contract. You know, I also do spot checks on all of the accounting paperwork which the accountants handle. Foreign student billings, I get those every month once they've completed their part with an invoice and the orders for each of the students. Then I go through them and I have to create another database based on all of that. I attach it with a couple of other letters I receive and then I take it to our squadron accounting office in which our accountant goes ahead and loads it into the automated system so we get reimbursed for all those meals. So, I'm sort of the middle person within that entire process. I double check all the figures the contractor has calculated, put it into another Excel spreadsheet to combine it so it's one piece of paper you can look at for everything, so that way we get our monies reimbursed back to the government accounts and surcharges that we can use to offset the contract cost. It does play a vital role, because otherwise that's monies we're short at the end of the year to pay the contract.

Q: As a COR, for your duties, who are the primary contacts? Who are the primary contacts or main people that you communicate with?

COR: I talk to all the contract workers, however, if there are any major issues, it's usually the supervisor on duty or the manager on duty, or both. I usually like them to follow me so anything I find they can write it down and work on correcting it on the spot while I'm in the facility, unless it's something that can't be corrected and at which time I'll let them know and I'll be back to follow up to make sure it was corrected in a timely manner. Usually within 24 hours any follow up action will be right there and then we'll document that as well. I do talk to the regular staff, however, I've found in my experience that it's best to talk to management and the supervisors and that way you know you've told the people in charge and it's going to get taken care of. The employees sometimes have too many things they're working on, so it goes in one ear and out the other and then you see no action.

Q: In addition to kind of talking to people in the office, you're mostly talking with the contractor or representative and their people?

COR: Yes.

Q: How often are you communicating; daily, weekly?

COR: I'm out at the facilities and I try to get out there—I would say on an average week I'm in the facility three times a week, whether it's in an official surveillance or an unofficial. Like this morning I had no official surveillances, however, I was in one of our facilities at o-dark-hundred talking with staff, seeing the line, so it's probably three days a week on average that I'm out in the buildings.

Q: What means of communication do you use with these people, in person, telephone, or email?

COR: A combination. If we have some kind of information we're trying to get across directly to all our facilities, we will talk directly with the contract manager. They're located on the third floor of this building, so we'll send them an email or we'll call them, usually followed by an email so it's written and so we have the documentation so if they say it was done and we see it's not and they say, "We didn't know," we have the documentation. However, whenever we're out in the facilities, it's usually verbal followed by a written documentation at the end of the surveillance so it's all written. So, there is a combination.

Q: What types of information are you sharing with these people?

COR: Various things like, for our specifics, would be the food code. If they're not following a proper step in accordance with the FDA food code, we need to ensure those employees are aware of that. They're supposed to get some training on that, however, the food code is rather thick and in depth, so it's sometimes hard to understand. We try to break it down to laymen's terms so they truly do understand it. We'll also provide, you know, it's like, "Well, if you're not truly understanding this, there's a quick reference check list. Put this in your book so you can follow it along." That's just one example per se. Another example would be proper processing of receipts brought in versus what's being shipped out each day and a better way to do the process versus everything you brought in and sending it out to be used, but at the end of the day you have all these leftover items that you can't bring back to your inventory, thereby costing the government additional dollars. Even though it's going to be used within the next two days, it shows there's a big loss in one day, so we're just trying to help them manage their assets that they have on hand and everything they get in.

Q: What point in the service contract lifecycle were you appointed as a COR?

COR: Let's see, well, my COR experience starts way back to when I was on active duty 20 plus years ago. Under the current contract which I'm in, we were in the option year 3 is when I started and I was hired on in November of that year, so the option year 3 had just started a month prior so everything was in place. I went back through my refresher training and started in. Of course, now we are under a bridge contract getting ready to start the extension on that come the beginning of October, so I've been more involved in the overall contract process of putting everything together for the new upcoming one next year when it comes out for bid.

Q: You mentioned training, what types of training did you receive or added for performing duties as a COR?

COR: As a COR, the first step was we were appointed and then we'd go to two different trainings over at the contracting office. The first was we would go through Phase 1 training which provides overall arching and widespread guidance of how to be a

proper COR and what your duties and functions are. Once that's done, we get scheduled for Phase 2 and Phase 2 is more specific. It breaks down and goes specifically into your contract looking at the specifics in how you are going to inspect what's in the PWS and how you are going to go about recording any information that you find, so it gives you more in depth information which you need in the COR. For myself, working within this COR area for, wow, about 27 years, you know, I have a lot of knowledge and experience out in the facilities and what they should be doing.

Q: Okay, how is your performance as a COR monitored?

COR: I would have to say that would be through the documentation which I provide at the end of every one of my surveillances, the written documentation that comes back that we put on file that put together and each end of each month report and forwarded it over to the contracting office. In addition to that, contracting does come out monthly and they do random surveillance of us actually performing our COR functions. It's been a couple of months since I've actually had one of the contracting reps come out and watch me and ask questions while I was in the field, but in our shop there are multiples of us so it's not always the same person. That's sort of how I see the spot check. And then we do have meetings here in the shop where we talk about what we've found for the month for write ups. Our boss goes through the write ups and he'll explain to us, you know, that this was a good write up and it had all this particular information, and this one was missing so we had to drop it. It wasn't really a strong write up. So, that in itself, sort of helps as a tool to help you become a better writer, whether it's a good or bad finding or whatever you may have documented.

Q: How do you perform surveillances of the contractors?

COR: Ours is put together on a monthly basis and it's a random selection. We have an individual who is in charge of that particular side of the house program. He puts the schedule together. All the times are generated randomly and the dates. You know, you may have like say for a particular month you'll only get nine inspections that you go perform. Like Friday I had two surveillances; one was a lunch time in one building at 12:00, and one was an early dinner in another building at 2:30. So, it's all random and you don't know until your schedule is posted and you follow your schedule. If there is a need for a change, we put it in writing in an email and we send it to our program manager. He in turn will forward it over to contracting and let them know, i.e. we need to change the date or the time due to mission requirements or whatever is coming up. That way they are aware and if they were going to come out and watch, they can realign their schedules.

Q: You have a published QASP that you use?

COR: Yes, we sure do. We have it in a book. We have a binder for each one of our facilities, so all the documentation and everything we need is in each binder. So, if you have a question when you're out in the field and you're doing surveillance, you can open up your book and just—it's all tabbed out so everything you need is right there.

Q: Last question, is there any additional information you think would benefit my research with regards to the CORs and communication that's kind of being done?

COR: Wow! I think it may be beneficial if you could sit on the contracting side of the house. Of course, I'm sure that's why you're going through all of this is to get a better eye sight, but I think it would be beneficial to see how the two pieces work together. You know, contracting and the requesting agency and how they perform hand in hand. There is a lot of information contracting requests from the user and sometimes it takes a long time to put that data together. I know some of the issues we've had here at hand is—of course, ours is driven by cost and our size because we're so big, so there's been a lot of different factors go back and forth. We've had to stop the processes and recalculate dollars and sense and manpower requirements, you know, because it's all driven by dollars and it's really hard to cut and say that, okay, you've got to get below this threshold and money. It takes time to go through all that data to change your hours and what we think the estimates are going to be and what the performance levels is going to be. In today's standard contracting methodology, you can't necessarily be specific in how you tell a contractor to perform a function. You'll say, i.e. you will come in and you will make 5000 widgets a day. I can't tell them how to make the 5000 widgets, whether they're going to work a 12 hour day or an 8 hour day, you know, etc. Sometimes, at least under this contract we have, sometimes it's essential we tell you specifically what we want, and that sort of hurts, you know, but through time the rules have changed and so there are some—it's nice you can sit and see kind of from both sides of the house. Maybe even if you get a chance to go out with a COR and watch a COR in action in how they work with the contractor out in the field. You know, I look at—when I go out I try to be as—I try to almost fit in like I'm one of the contractors. Of course, the contractors here know me because I've been here a few years and a lot of them remember me from when I was on active duty, so it's sort of like that home experience. You walk in, they say hi and they greet you, and I treat them like how I would want to be treated. If something is wrong, I don't want to chew them out, because I wouldn't want to get chewed out if I was in their boots. So, you just sort of share this is how you should do it or you shouldn't, you know, and I just feel it's a lot easier process when you do that. It makes it open and there's no—what's the term I'm looking for? It's not a confrontation, per se. Because we all have to work together regardless. You're just trying to make sure that the government is actually getting what it's paying for.

Q: Do you feel the more all the different players are involved with the service contract and the more everyone is talking to each other and sharing information,

the more everyone kind of knows what needs to be done and it's being done and everyone feels more comfortable that, just like you said, the government is getting what they paid for?

COR: I feel so. I mean, we've had some changes within the two sides of the house since I've been here. I think we have a good working relationship with our personnel over in contracting who handle our contract. Even though there have been a couple of people changed, we've come back, we talk on the phone and email, and we're sending information back and forth providing what's needed. Of course, within the DoD a lot of times a suspense has come up and they need information and they need it now, and that's difficult. You have to stop everything you're doing and it's 5:00 and it's Friday and you're trying to provide them that last minute data that they need before you can go to the next level. So, I always like that communication. I think we have a good working relationship here back and forth and it makes things work really well. I think I'd have to say for us here that we are really blessed. It's a good team in contracting and, you know, a good team here in this section and it works out pretty well.

Contracting Officer's Representative 5

Q: Let me start off by asking you what are the duties you perform as a COR with regards to this service contract?

COR: Okay, my job here, I'm the lead quality assurance evaluator (QAE), or COR. I guide all the training analysis, and any discrepancies noted I compile it on a weekly basis. After we do the compilation of the disagreements of observations good and bad, of course, and we do some brainstorming and I say, "Hey, what's going on with this dining hall? Are we doing this? Are they doing what's specified specifically in the contract?" And then if they don't we put this as unsatisfactory and we let [the food service manager] know and of course he polish all the reports because he said, "You need to write it just like a lawyer—written by a lawyer—because they might go ahead and come back and disagree and, you know, so you have to make sure it goes through." So, anything that doesn't sound right, we drop it because we don't want to waste our time. Also, with our experience we got, most of my COR are retired military and they're all the same MOS—that's in the Army. We call it AFSC in the Air Force. I was a cook when I came into the Air Force and the COR. I was a cook for, you know, starting from the bottom, so we acquired a lot of experience built in garrison cooking techniques that we can tell exactly if, let's say, the contractor is trying to BS on us. We can catch it right quick. You know that. You've been there before. So, they just can't—we know. We have some Army perspective also on our team. The experience that we got here we utilize that on performing our duty as COR personnel. What we do is we like to catch any discrepancies before the Public Health will catch it, because we don't want to get written unsatisfactory or marginal because that's going to be bad on our side.

Q: Who are the main people that you communicate with as you're performing your duties as a COR?

COR: I communicate with [the food service manager], because he's my boss first, and then with our contracting officer. She conducts surprise inspections also with our CORs, so that's why I was telling them, my CORs, what I do. I also have my monthly inspection of my CORs, you know. I do a spot check on them also making sure that the inspector is going to their place, because if they don't then the contracting officer will come by and check another round there. So, I'm checking the COR also.

Q: Okay. Those are the NCOs that the only thing they do full time is inspect the contractor?

COR: Yes, sir.

Q: How often do you communicate with each of these people?

COR: We have a weekly meeting with [the food service manager] and that's where we do all the brainstorming, and also I communicate with [the contracting officer] at the end of the month because I send her a discrepancy report that we gathered and compiled. You know, things that [the food service manager] had approved. This one is—let's say, the contractor will try to fight this issue, but we can win on this one, so we send it to the contractor. So, on a weekly basis. And, of course, we also deal with the Public Health, because the Public Health take our sanitation standard. Especially, this is basic training, sir. We feed all the trainees and we don't want one outbreak of disease to be associated with our mission because of the fact that previously, we had one incident of the virus, but it's not ours. It's coming from those training. That's why we make sure we have the hand sanitizer in all the BMT. I go over there and I was so kind of mad because the DI didn't instruct their trainees to—we put everything. We have the sink over there, we have the hand sanitizer, and the only thing they have to do is enforce it with their trainees to make sure they wash their hands and use sanitizer. One time I went over there to just go in straight and I said, "Wait a minute." I stopped from that sign and I said, "Stop! Stop! Go back. Stop serving the food. Wash your hands. Wash your hands. From this point to this area and then use the hand sanitizer because there is going to be another incident of food borne illnesses if you guys don't do that." And I told them and I went to brief the TI. I said, "Sir, you need to make sure that we enforce this hand sanitation on washing thing in here because this is a field condition and if you understand, you know, our trainee is going to be deployed to the field and if we're not going to start here right, they might do the same thing."

Q: Okay. What means of communication do you use with each of these people, like telephone, email, in person?

COR: We do both email and telephone or personal contact. We talk to them and we brief them and send them with [the food service manager] and the contractor.

Q: What reasons do you communicate with each of these people?

COR: What reasons?

Q: Like why would you communicate with each of these individuals?

COR: Because of the mission that we have. I need to make sure that everybody is on the same page, like public health. Sometimes they do some different interpretation on the food code and we do the same, so that's why every time we have an important meeting we invite Public Health folks so that we can say, "Hey, how you guys interpret this one," so we are on the same page. Because if we don't, then it might be that their interpreting it differently than ours and there's going to be a breakdown in communication.

Q: What training did you receive to prepare you for the duties that you're performing here as a COR?

COR: Okay, we had training—we had three what they call COR—I've got all the training books here. This is my training binder. All my CORs got all their certifications. When I first became a QAE, we had this one right here. Quality Assurance Personnel Training, Phase 1. Here's the Phase 1, and we have Phase 2. And then when we had changed from QAE to COR, we have this Quality Assurance Auditing, which is what they call CLM 103. And then when we have the Contracting Officer's Representative with a Mission Focus, CLC 106. And then we have the Contracting Officer's Representatives in a Contingency Environment, CLC 206. And we have the online training for the contracting officer's representing the COR, CLC 22. And now another online training again that we have to do before August 30th. I mean, we have to complete that one. And I got all the training of all my COR, all their certifications. That's why every time we had IG inspections, we always got the strongest—what do they call that? My program is the strongest one that they always find because of the fact that. If you notice, we have these things that we did how I fair. During the latest inspection, we got the highest grade from our unit. We got outstanding. Not excellent, but outstanding on our side.

Q: How is your performance as a COR monitored?

COR: Our performance is monitored by the food service operation manager. We have a yearly what they call feedback, because we also in the civilian we have the bonus, so they look at all the performance that we got and if you are deserving, they give you an award. And I got awards. I mean to say, I think I'm doing a good thing.

Q: Okay. How do you monitor the status of the contract—the service contract?

COR: How I monitor it?

Q: Yes.

COR: Based on the Statement of Work that we have. Every binder that we have is complete with all the prepays, the food codes, the AFOS, Air Force Occupational Safety. It's all in there. So, we monitor everything by the Statement of Work and any time that there's been a modification from the contract, we also attach it to the binder. So, we monitor it the way it was written in the contract. Yes, sir.

Q: Okay. The last question I have is, is there any information that you think would be beneficial for my research from your perspective as a COR?

COR: Well, the beneficial, sir, is when you're hiring a COR make sure you get their credentials, because for me, I mean, I was still on active duty and I put in hard. I mean, I was working as a, you know, QAE in the field and I discovered an anomaly when I was over there because the food service contract over there, according to the contract, the U.S. government and the Kuwaiti government would share the burdens of the costs and the food that we were utilizing over there in the EOR. But I noted that we were the only one spending the money and the Kuwaiti government was not. Somebody on the chain is not doing his job. So, when I discovered it, I reported it to the main commander and we saved the U.S. government more than 2 million dollars, so we discovered the Kuwaiti government has to provide us all the food that they didn't give us. We got like 8 or 9 trailers full of food delivered because I discovered it. Yeah, so I said to myself, I said, "Hey, stop messing with my country. That's money that we're supposed to be giving to the troops and you're not giving it." So, [our service agency] knows, because he's here, and he said, "Oh, yeah, good thing you catch it." So, when I applied for the job here, I got it right away.

Contractor

Q: Let me start by asking as, one of the representatives for the contractor, what are your duties with regards to the service contract?

CON: Well, I oversee all the facilities on a daily basis. I mostly touch bases with all the management. Our management teams come up here usually every day. If there's any kind of problems in their lives, they come to us first so that we could direct them on what to do on any little hiccups or stuff. If we can control it up here, then we can tell them what to do. If not, we make a phone call to the Food Service Office.

Q: Who are the primary people that you communicate with in regards to just the execution of your duties?

CON: In the Food Service Office?

Q: Well, just in general, like representatives from the military side, the contracting officer, or the COR or the different people that you talk to.

CON: Well, we don't have too much contact with the contracting office unless something different that arises such as modifications or things like that, we don't deal with them too much. [The contracting officer] has been mostly who we've dealt with in the past couple of years. Then downstairs is [the food service manager] is mostly who we go with.

Q: How often would you say you communicate with these people?

CON: In the contracting, maybe once a month, and downstairs, probably on a daily basis two or three times a day and maybe more.

Q: And what means of communication do you use, like telephone, email, in person?

CON: All three. We do emails. If it's something that needs to be addressed right away, it's a phone call and then in person. There's a meeting held every week with downstairs, so things get addressed there as well.

Q: What types of information do you share with the different people?

CON: With downstairs it's mostly things that are occurring at facilities that might hinder the operation, such as plumbing problems, no gas, electricity, and those types of things.

Q: How do you monitor the status of the contract?

CON: Exactly what do you mean?

Q: I guess the performance that's being done at the actual facilities.

CON: Well, not only do we have our own quality assurance people, we go out also. There's three of us; the project manager, myself, and another. We all go out throughout the day to different facilities just to see what's going on and make a presence known within the facilities.

Q: Do you feel that communication occurring both within your office here as a contractor and then also between you and the office downstairs with the CORs is helping and enhancing the performance of the service contract?

CON: Yes, I do.

Q: What monitoring/surveillance contract are you aware of?

CON: Well, they do their surveillances also and they also go throughout and do unofficial surveillances as well throughout the day. They'll go to different facilities on different days. Some of them spread out and sometimes they go together and take walkthroughs pretty often.

Q: Is the surveillances being done based off of a plan? In this case, do you have something called a QASP, Quality Assurance Surveillance Plan?

CON: On officials they do. I know they go by one. On unofficial, sometimes they are people working on it, but sometime there's not, so we don't know exactly what they're looking at each time they go in. But if there's something that needs to be identified, then they let us know.

Q: Last question. Is there any additional information you think that would help me in contributing to the research from your perspective as the kind of representative of the contractor and then communication between the different players?

CON: No, I think we really have a good line of communication with the Food Service Office downstairs. If we can't get a hold of one, we can locate somebody from down there, so we know we can always touch bases with them. And it's good to know that we don't have to shoulder everything and that we can ask either for guidance or let them know that, hey, this is what's happened and here's a heads up, so they don't hear it from an outside source. It should come straight from us if something out of the ordinary is occurring.

Q: Do you feel being located in the same building as the COR office helps you in terms of, you know, as stuff comes up?

CON: Yes, definitely.

Q: And do you feel it's also beneficial that, for example, this particular COR office they have six or seven people that are working in there performing COR duties versus maybe just one or two that would be performing the same amount of duties? Do you think it helps that they have more people in that office?

CON: Not necessarily. We mainly deal with [the food service manager]. We don't have much communication with the other ones. I mean, we know who they are and when they're in our facilities, but the amount of people that they have I don't think really affects—I know they've been down quite a few and it's never really affected our ability to communicate with them or find them or really change them in any way.

Q: So, from your perspective as the contractor, you guys, you just mainly have one person that you work through for that?

CON: One or two, yes.

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APPENDIX C: COR SOCIAL NETWORK B INTERVIEWS

Procurement Contracting Officer

Q: So the first question is, could you briefly talk about the contract itself for me just a little bit? I would like some of the background on it and what exactly it covers.

PCO: This particular contract we are discussing here is a Transit Alert contract. I guess it is simple, they are responsible for transit aircraft that come through, but then there are so many more tasks that are associated with managing the aircraft when it comes through for service, but the gist of it is they are responsible for the transit aircraft coming from different locations when they pass through here at Lackland.

Q: Okay, and as the primary contracting officer for the service contract, who are the main people that you talk with, or who are your main contacts with regards to the contract?

PCO: The only contact I have on the contractor's side is the owner of Log Net, the company that has the contract. And on the government side, I have three QAE or CORs, nowadays. Those are the three that I communicate with more consistently than anything. The only time I really contact the owner, is if we are having any issues. Like any issues that we can't resolve. Now the CORs, they typically communicate a lot with the contractors that are out there and if there is an issue, they channel it up, and then I go directly to the owner. I have never had a time where I had to go and talk to the people that are out on the line with them. I just don't go that route.

Q: Now with the CORs that are out more working with the people on the ground, how often would you say you communicate with them? Daily? Once a week?

PCO: Gosh. For a minute it was like, every other hour when I started working with them. They were so—I used to call them 'needy'. They actually alluded to that the other day, but I talk to them at least twice a week probably. Not because anything is going wrong, just to make sure that everything is going okay.

Q: Right.

PCO: So I can go away 30 days, and I am at comfort knowing that whatever needs to be taken care of, they know how to get it done because they have a good working relationship with the contractor. So it is pretty—it is at a place now where it is easier to—just really, the whole program. But initially, you have new people, they had new management, they had a new COR person. It was just somehow discombobulated at the start. But now, those are my best guys. I love working with them.

Q: Okay good. And you said the point of contact for the contractor—you only go to him if stuff arises that you really need to go?

PCO: Yes.

Q: What means of communication do you use with each of these people and probably more the courses you contact with them you contact them directly?

PCO: We email and phone.

Q: Okay, so those are your primary sources? Email and phone?

PCO: Yes. I have gone out. I was out at their organization one day last week actually, but I don't go over there too often because it is on the other side of the base and that is not my only customer, that is not my only service contract. So my involvement in terms of actually going to the place is minimal. I don't know, I will probably go out there again maybe in the next 90 days because we will start a new contract and so I will just go out there to see how that is going, but I don't go over there very often at all. Now they are over here, like if something is going on, or they are in the area, and they will just stop by to see how things are going and they will stop by here, but for the most part, my communication with the owner is always phone followed by an email. I will call him and let him know, "Hey, we have this issue going on, I am going to send this to you in writing so that we will have something in writing, so you will respond in kind." So that is always the case with him.

Q: What type of information are you sharing back and forth between you and the CORs?

PCO: It all depends on what is going on; if everything is going in flow, terms and conditions of the contract, nothing outside of that.   Usually when we are communicating, it is something that has arisen on the COR side and they are bringing it to my attention. So whatever that specific thing might be, then that is what we will address and go back to the contract and see what it is that they are trying to get a read on. If it is something that we just can't get a clear understanding that we are both on the same accord, we always in contracting get legal advice. We go through legal.

Q: Okay. Is there some type of published plan on either how often the COR should come to you, or what reason they should come to you, or it is just indirectly they understand what reasons to—?

PCO: Well it is not really an indirect, the statement is clear that the contracting officer is the only one that has authority to bind and make changes to a contract. So whenever something is going on, they come through the contracting office. It is not written that you have to come over here once a week, twice a week, two times a day, none of that.

Q: Okay, is there ways that you store—do you have some sort of record of communications so for example, if there is some issue with the contract, or if there is some issue with the contractor that the CORs bring to you, do you keep a file of that

so that if you have to either terminate the contract, or something later on down the road, you have historical reference to refer to?

PCO: Well we don't have a separate file, we have a quality assurance section, which is now a COR section in the binders, and if we have issues that we have that need to be recorded, then that is where they will be, but we don't—I don't think we have very many, if any, that we have on file that wasn't something verbal—if it is like something, "Okay, you put this over here and it should have been over there." That is something that the contractor can address then, they will. But, if it is something that they had to tell them to address, and they want to put it in writing, then they will send it to the office and it is filed with the COR documentation. But we don't have a separate binder over here like we are waiting like, "Oh, oh, please get in trouble so we can keep everything here, and then when we go to court we have got this big binder." None of that, we have just not had those types of issues, so I guess that is pretty good for us

Q: As the primary contracting officer, how do you monitor the status of the service contract?

PCO: For this particular one, they send monthly surveillance services of the things that they have to look out and go and check. They send that every month. Then the commander signs off on it, and then I sign off on it, and that is what they are expected to do for the month. Then I rely on the CORs to ensure those things are done at the end of the month. When they have met these standards, then they send over what we call a rating balance score card and they will say, contractor has met 99% of whatever the surveillance was put out for them, and then they sign off on it and send it and we record it and we keep it internally within the organization, but it is reported somehow at the end. I don't know if they do it monthly or quarterly, but the ratings are reported to management higher up. I mean higher up outside of contracting. So that is how they keep all that together.

Q: Okay. I guess there is a quality assurance surveillance plan that the CORs either have a copy of it that they use that is telling them, "Hey, this is what you are supposed to look at"?

PCO: Yes. And they actually have associated TOs for that operation as well. I am not real familiar with everything that is in their technical orders, but they use that as a routine, as part of their QASP as well.

Q: And you were saying how often do they monitor the contractor's performance?

PCO: They monitor the contractor's performance every day.

Q: So they are going down there checking every day?

PCO: Yes. They are in the same location. They are out in the same hangar.

Q: Oh, okay.

PCO: Is where they are housed at, so they are interacting with the contractor every day.

Q: Okay. The only other quesiont I have is there any additional information that you think would be valid to my research in terms of how communication occurs between you and all the other members that are involved with service contracts?

PCO: Well, it seems to work well for me, but then I don't have my contractors—they don't have a whole lot of issues and concerns. So I can't say that for the other contracts, because you might have difficulty just in personnel, the people that are working the contracts, or the CO and I will say the CORs. Not seeing necessarily eye to eye on something, or maybe it is the COR, and they conflicts between them and the vendors out on site depending on how often they would go out there. Because some of them probably require you to go out two or three times a month or so; I count on my CORs to do what they need—there are the SMEs, the technical people, they know what is going on. I just need to make sure that we are doing things according to our contract that we run. And if there are any issues that come up that make it seem a little ambiguous or whatever, then we get clarification about all of that through legal. So it is not like you are just making a decision and that is it. We always confer with our legal because we want to make sure that we are doing what we are supposed to do. But I don't necessarily have any problems with the way we communicate for this service contract.

Q: So it sounds like you have pretty good communication with the CORs. You feel pretty comfortable that the surveillance being done is being done very well, and the contractors conducting what they are supposed to.

PCO: Absolutely. And the contractor, I do believe they are the incumbent, so they had the contract for four or five years before. It is just that these CORs weren't always the CORs. Like they weren't the CORs when I first started the contract, but I wouldn't trade them. [laughter] I count on them because they are full time and so they are able to devote that time to monitoring that contract and ensuring that they are doing what is supposed to be done. Most of our CORs are not full time.

Q: Okay, so your CORs, that is their sole job is to—?
PCO: That is it. They are full time. Woo hoo! [laughter]

Q: Well that certainly helps.

PCO: That helps out tremendously because otherwise, I would be making frequent trips out there going to see what is going on, when, and how, but they are there. They are in place. That is their full time.

Q: So you haven't had—have you had a situation with this contract where CORs left and a new COR came in and you had to train them up?

PCO: No, when the COR left that they had before, and the new guys came on, they had to go through the whole COR training program which is all online. So when they finished that, then they submitted their certificates over, and then they came over and we did the whole Phase II—well, it is not Phase II anymore, it is just contracting officer representative. So we did that, and they are continuing the service, it was just a formality that we had to go through. So it just worked out well. And they picked up, I mean being full time, that is your responsibility that is your bible, the guidance of the program, and they have done a great job, great job.

Q: Okay. Do you know how often—and I will probably get this when I talk to them, but the CORs themselves, do you know if they communicate with each other?

PCO: Oh yes. They are in the same office. They are a team. When you go over there, all three of them are probably in there unless one is out on the line or something, but they are all in there. They are great. And communication, you know, it has to be the foundation, so just knowing that we are able to see—okay they can probably figure out, okay, she is going to say this, but we always get things in writing. So they will call and say, "What do you think about this?" and we will say what we think about it and then follow that up in writing. So they are really good about that, really good. If I can just clone them and make them be on all of the contracts, we would have peace in the contracting community on service contracts. [laughter]

Contracting Officer's Representative 1

Q: Alright, let me start off by asking you as a COR, what are your duties with regards to this particular service contract?

COR: Well, actually I am the Chief COR for the office. I have most of the administrative duties of doing the schedules for the CORs, all the inspections and also doing the end of month summary of how that contractor did for the month. Those are a couple of my primary duties, and then I have oversight on the money, as far as how much is being spent monthly and any kind of reimbursements that we are giving back to the contractor for purchases and verifying items that they have purchased. Those are some of my primary duties right there. I have a lot of, or work a lot of other issues on a daily basis. If something comes up that they feel it is they are in the right, we have to verify that through AFIs or whatever guidance there is. Sometimes I go to battle those issues and stuff like that. And then I also have to work those issues through the functional commander and also through the contract officer and get those types of issues resolved.

Q: Okay. Who are the primary points of contact people that you communicate with in regards to the contract?

COR: Well, in this case, the Project Manager. I deal with him on pretty much a daily basis. Whatever it may be, just finding out what is going on, if anything gets added to the schedules, to any kind of major issue that they may be having. I also brief the functional commander any issues that may be brought to my attention that he needs to be aware of. Then ultimately, if there is any kind of major trends or something that we need to take action on the contractor, I will also contact the contracting officer. So those are pretty much the circle right there that I deal with. Of course there are a lot of other outside agencies that we deal with for support and stuff like that. I will deal with those, but not on a daily basis; for the most part, just those three individuals there.

Q: How often would you say you communicate with each of these people?

COR: Pretty much with the contracting project officer, I mean project manager; I deal with on a daily basis. The functional commander, maybe twice a week, I will get him briefed on something, unless something comes up. PCO, I would say maybe once a week I get in contact and see how she is, just let her know how things are going, but that is pretty much the way it works.

Q: Okay.

COR: So most of the interaction is with the contractor.

Q: What means of communication do you use? In person? Email? Telephone?

COR: I try to keep most of my information flow through email so you can keep track of it and that way, I can also have some kind of backup in case someone said, "Hey, I don't remember you talking about that verbally." So I have some kind of backup. I pretty much do everything email. But there are a lot of times that I will call the project manager, and he will call me and say, "Hey, we need a moment to talk out in the hangar." For whatever issue there may be, so verbal communication and then occasionally it is just over the phone. We will just discuss things over the phone.

Q: What reasons do you communicate with each of these people?

PCO: Some of the reasons will be just to find out items that they—well, any issues or concerns that they may be having, or a lot of times it is scheduling of the aircraft that are coming in. Finding out what the workload is going to be, so we can also work around our inspections on those days. The thing about this contract, it is a TA contract. Some days you have aircraft coming in, and some days you don't. I mean there is a flying schedule to coming into Base South, but sometimes it is not always accurate, so we pretty much communicate on that basis to find out what the schedule is. So, their workload and then we base our inspections on that.

Q: What types of information do you share with these individuals?

COR: Let's see here—well, anything that is pretty much in the statement of work. We will deal with those issues. Anything that is government related, we try and keep that offline to ourselves, and then the less we need to bring it to the table. But for the most part, it has to be just work related.

Q: What point in the contracts lifecycle were you assigned as the COR?

COR: About a year.

Q: Now what training did you receive to do your duties as COR?

COR: We have the formal training up at the headquarters AETC, they provide—it is the management school up there. They have a full blown COR course up there. They might be somebody you want to talk to. Very knowledgeable about what goes on in the COR world. They also have a Functional Chief and he has oversight of all the CORs within AETC. Now that is the big formal training to become a COR. You have just the COR, and then you also have one for the Chief COR, whoever is going to be in charge of that shop, they offer like an advanced course for more of the administrative stuff that you deal with, and they will give you some more training on that. Then the second part of the training in there would be on the contract specific, and that is provided by the local contracting office. They provide you like a couple of hours of training on that specific contract.

Q: Now the COR training, were those the DAU courses? Do you know?

COR: Okay, you are right, there are a couple of DAU courses online too that we have to— like Ethics. That is one of the courses and then there is another basic COR training also on there, but that is very basic.

Q: Now before you were a COR with this particular contract, have you had experience in the past from doing similar—?
COR: I have—yes, from quality assurance, when I was in the military, prior service. I have also had—I was on an inspection team, so a headquarters inspection team, so I was basically doing the same—.

Q: So you come in to this job with like a base of experience that just helps?

COR: Yes, I do.

Q: Okay. How is your performance as a COR monitored?

COR: Well, the next level for my supervision, which is of course a functional commander, also is required by AFI to do an annual evaluation on me. He will go out there and we will do an over the shoulder, what they call an 'over the shoulder', and we have kind of a checklist also that we all go by and we have got to meet these specific

requirements of the 'over the shoulder' inspection. We also have refresher courses. Every three years we are required to take back at the headquarters, level training and we have to pass that. I mean all these courses we take have a test involved. So that is part of how we are measured. And then of course, we have two inspection teams that come in here which is, AETC IG team, and also the AETC LCAP team, which both do evaluations on each one of us while they are here during that time, usually it is about a week long inspection; same thing that they are doing like, task evaluations, and then also checking all of how we are documenting all our inspections, so there are several ways that we are measured on our performance also as CORs.

Q: How do you monitor the performance of the contract?

COR: How do we monitor it?

Q: You particularly as a COR?

COR: Well, doing the schedules and the summary, I mean we do a lot of trend analysis. We can do that. All the data that is in our database, I mean I am watching for any kind of trends. That is our primary source of monitoring what is going on. I mean, if we see anything that we need to really address, or if it is something maybe Dave mentioned to you, but we can increase our inspections. We have a minimum that are required by AFI, but then we can always if we see a trend in one area, we can always up those until—to find out if there is really a problem.

Q: Right.

COR: And make some corrections.

Q: Okay. Then you have a QASP that you use by a different name.

COR: Yes.

Q: When you do the surveillance?

COR: Yes we do. We have a—slipped my mind, but it has transitioned to a QASP—performance plan. That is what we had. That is what it was called until recently.

Q: Okay. And the only other question I have is there any additional information from your perspective as a COR that you think will contribute to the research I am doing?

COR: I think—well, two things. One is always going to be the budget that we have. I think that is important to always have good management of what you are spending. I mean you are also limited, just like any other business, and the second thing is also the source selection. When we do the source selection, I learned a lot about that. It would probably—I think it would be more advantageous to us as CORs that we get some kind of training, a little bit more training on how to do the source selection

because that is something that we get tasked with. Every so many years we re-compete the contract and without that knowledge I think you kind of go into there a little bit blind, not knowing exactly what you are looking for. So those are the two areas that I would say are the most important.

Q: Okay.

Contracting Officer's Representative 2

Q: Let me start off by asking you as a contracting officer's representative, what your primary duty is with regard to this particular service contract?

COR: My duty? Surveil the contract based on the statement of work. We have over 150 inspections that we do. On this contract, or based on the statement of work, everything that we have written on the government side, they need to accomplish. Every what we call 'shall statements', those are our points that we inspect, those particular statements. So we do inspections, we inspect them every day; we do one or two weekends a month, depending on how they are doing. In this particular contract, we have an excellent contractor. So it makes our job a little easier. But essentially that is it.

Q: Now who are the primary, main points of contact for you in regards to this service contract? In other words, who are the main people that you interact with?

COR: Contract manager and the two QC personnel, quality control personnel and there are two of them. Well our contracting officer, we interact with her weekly. Her alternate, we interact with her a lot. Mainly with her, because she is the one that does all our modifications, sets us up for any training we might need, things like that. On this side we interact with the contract manager and the QC person. Really, with everybody, but the main personnel are the contracting program manager here.

Q: How often would you say you communicate with each of these people?

COR: With the contracting officer on the government side, probably once a week. But, once a week the assistant, contract manager daily. QC personnel on the contractor side, daily.

Q: What means of communication do you use? So like, in person, telephone, email?

COR: Well, being the contracting is on the other side on Lackland proper, it is mainly by phone call and email. Contract program manager and these guys? Face to face and email. Sometimes a phone call, but we are right here, so.

Q: What reasons do you have to communicate with these people?

COR: Okay for the contracting side, government, the ones that oversee us? Modifications to the contract, questions saying, "Hey look, the SOW is saying this, we wrote them up for this, we found a deficiency here." The program manager over the contractor's side will come back and say, "Look that is not what I read here." So we will get a read from her. That is one of the reasons; modifications, any questions pertaining to the contract. On my end, I am the financial guy of the contract, so I handle all the finances of it. I pay the contractor monthly, so a lot of my questions might be regarding financing. As far as the program manager here on the contractor side, like here with us, write ups, defects that we might have, questions that we might have, interacting with him on—for instance, I wrote him up for not doing something. He comes back and says, "I don't agree with this." So we will go back and forth. Usually we resolve it here at this end.

Q: What part or what point in the contract lifecycle were you appointed as a COR?

COR: A year ago? About a year?

R1: So the contract was—.

COR: Yes, already established. Into the third year of the contract. Three and a half year mark, something like that.

Q: Okay. What type of training did you personally receive to prepare you for your duties as a COR?

COR: As a COR? We had training over at the schoolhouse; we call it AETC schoolhouse that we went there for training, specifically there for our training.

Q: Have you served duties as a COR prior to coming for this particular position?

COR: No, I have always been a QA, always.

Q: Okay. Some of the duties you perform as a QA, are you also performing them as a COR?

COR: Same exact.

Q: It is pretty much the same thing, just change of name?

COR: Just changing the name.

Q: So you have a good base of experience that you are bringing with you into this job?

COR: Exactly. Oh yes. Many years, yes.

Q: Okay. Now as a COR, how is your performance monitored?

COR: My performance is monitored by our Chief COR. Once a year he does what they call an over the shoulder on us to make sure that we are up to speed. We are a small office, so pretty much we know how each other are doing. But formally, once a year he does an over the shoulder on us on one of our technical inspections, and that is how we are monitored. Day to day, we interact—the three of us interact with our write-ups. "Hey, I found this guys," so we sit around and talk about it. In fact on every write-up we do that. Just to ensure that it is a solid write-up and there are no questions.

Q: Now how do you monitor the status of the service contract? Like what is being done by the contractor?

COR: With those—? Like I said, those write-ups—those inspections that we do on a daily basis, that is how we monitor the contract. Basically we are out there inspecting launches, recoveries, servicing, I mean age of equipment. We have an IAFA piece too, which is on the other side, but we also do that. It is all by inspections.

Q: Do you have a quality assurance surveillance plan, or do you do something different?

COR: No, we have a—I think it is called something different for now, but a QASP? Yes.

Q: Okay, and that is what you are using to check off as you—?

COR: For us, for we as CORs, that is what we use, our QASP. That is our bible, per se. In terms of how to inspect, what is a major and what is a minor and defect or deficiency, that is—yes.

Q: The only other question I have is there any additional information you think relevant to the type of research that may be significant in my write-up from your perspective as a COR?

COR: Let me see. I guess from my perspective the financial piece is like a huge part, and I think it is a huge part of the program, because those are actually the government funds that we are actually paying this guy. So there is a huge responsibility on the CORs, the three of us in here, to ensure that the taxpayer is getting exactly what he wants. So I think from that aspect—as far as the inspections, it is pretty cut and dry. We have got a statement of work that the contractor lives by and we inspect him. We have a QASP that we live by, and this is what we are going to do, and that is pretty cut and dry but the financial end plays a big part. Sometimes that gets pushed to the side. It is kind of an, "Okay, we pay them this much a month." But no, it is more than that.

Q: Did you receive training with regards to the financial piece?

COR: Yes I kind of pushed for it and I went to Montgomery, Alabama. They have a great course there for people like me who are doing finance stuff. Yes, so I have had extensive training in RA. A lot of it—I don't want to say extensive. A lot of it is doing it. You know how it works in the military. You get the job and you just start working it. So I have become quite good at that.

Q: So as a COR, your duties are more focused on the financial piece with this particular contract?

COR: Well I am basically the financial guy, and every month I report to the chief COR and tell him, "Hey, this is our situation, these are our balances on our contract line item numbers, CLINs." So I am the main player in that piece. But I also do inspections too. We have to because there are only three of us here. So I am out there also.

APPENDIX D: COR SOCIAL NETWORK C INTERVIEWS

Procurement Contracting Officer
Note: SUP = PCO's supervisor

Q: Can you please start off by briefly describing the contract itself, like the services it provides and the customers it serves?

PCO: This is a food service contract providing the food for the soldiers. It is mainly for DLI (Defense Language Institute), those soldiers assigned in DLI. We have—this is for a five year contract. 11 month base year plus four, one year option periods. The total value is $18 million dollars for this contract. We are in the second option year now. Second option year started 1 April. We don't have a major issue on this contract.

SUP: Do they serve meals twice a day or is it three times a day?

PCO: Three times a day plus so many irregular—like supporting—like troops when they are assigned here, they have—this is a requirement of the contract. So based on the estimated quantities.

Q: How many dining facilities does it manage?

PCO: I remember there are like two major dining facilities.

Q: Does it also service the other members that work and live on POM (Presidio of Monterey) or is it primarily just the DLI people?

PCO: I think only soldiers for [DLI] I believe.

SUP: Okay, so just students.

Q: Just students. Okay. Do you know roughly how many meals it serves? Like a month? I mean just a ballpark average.

SUP: Let me jot that down for you. We will get that information to you.

Q: With regards to this service contract, who are the primary people that you communicate with, that you talk to?

PCO: COR.

Q: COR is your prime person?

PCO: Yes.

Q: Is there a—?

PCO: You are talking about government side?

Q: Either or. I mean the contractor—.

PCO: The contractor.

Q: Is there a representative for like the customer or the requesting agency that you communicate with as well, or—?

PCO: It is mainly focused on the COR.

SUP: Typically the COR because they are designated out of the requesting office, if you will, so that is our primary point of contact and then as necessary if there are issues or significant changes then we will obviously involve the COR but we will then talk maybe with their supervisor or those kind of things to get the adequate level of attention for whatever that issue is. But the day to day contact is with the COR and then the contractor has a program manager or some type of position that is our focal point.

Q: They have a representative basically.

SUP: Exactly, yes.

Q: Okay. How often would you say you communicate with each of these individuals?

SUP: At a minimum on a monthly basis. That is if everything is routine and assuming there is no problems, no issues, the CORs are required to submit monthly reports just to let us know how things are going, that type of thing. So we will typically at a minimum just touch base once a month. Obviously it is more if issues come along. Right now we are working through some issues with increased service. I guess the number of students has increased over what was estimated, so they are working through that issue now. So obviously their communication is quite a bit more than just once a month.

Q: What means of communication do you use? So like face to face, email, telephone?

PCO: Email and telephone.

Q: Those are your primary ones?

PCO: Yes.

SUP: And just—that is more just due to the distance with us being over here and them being over there unless it is something urgent or a real important meeting and then typically everything is just done via the phone or email. We are trying—and that is one of the things we are going to work on next year—not just with this contract but with all of our contracts, at least sit down quarterly with all of our CORs and that kind of thing. But again, with the distance between us and not being collocated makes it a little challenging. But typically everything is done through email.

Q: Right. What reasons do you have for communicating with—like why would you reach out and talk to these particular individuals?

PCO: To see if contractor performance for the contract requirement or to see if there is any issue with the contract with the COR.

Q: Now the contractor or the representative of the contractor, how often do you communicate with them and is it mainly just for if there are issues with the contract? Or, do you have other types of regular communication with them?

PCO: Unless there are any issues—mainly I contact, or they contact me, if there are any issues. So if there are no issues, no.

Q: Okay. So you mainly talk to them only if something arises with the contract or with the service itself?

PCO: Yes.

Q: What types of information do you share between you and the CORs since the COR is your main contact?

PCO: Any information relating to the contract.

SUP: Typically it goes back to mainly that monthly report, their service levels. There is also ICE comments, customer feedback comments. The COR will give us copies of those that happen periodically. Typically I have seen that maybe not a monthly basis, maybe every couple of months they will have a list of—as students come in, they either like the food, don't like the food, complaints, those types of things we will get that type of information. But just typically performance type stuff. We will also get general information about numbers and that kind of thing; numbers of students coming in. Again, going back to the issue that they are working out now with the increased service. But typically, it just revolves around whether or not that contractor is meeting the requirements of the contract, getting the feedback from the customers, from the students, finding out if they are satisfied with the level of service and that type of thing.

Q: Is there a published plan of some sort that you have with you and the COR that dictates when they should be coming to you and talking to you? Or, is it that they just understand?

PCO: Whenever they—I mean—it is only an email or one phone call away. So we feel comfortable with each other in contacting. I mean even though there is no issue, they can contact me anytime.

SUP: And we give them the COR designation letter at the beginning of the—in this case, at the beginning of the contract because he is a new COR, but when he is first assigned, we give him a COR letter that spells out his duties, his roles, what he can and can't do, when he is supposed to contact us immediately about and those kind of things. But again, with just the normal day to day conversations that he has with me, he has been totally understanding that hey—in this case, they are really good about knowing; don't make changes; don't authorize something that is out of scope, that kind of thing. They know to immediately address that with us, but typically again, just I don't want this to sound negative or we are out of touch, but we don't talk consistently day in and day out because if things are running smoothly, there is no need to. The COR is doing his job, we are doing our job on this end and the contractor certainly is doing their job.

Q: Do you file or store a record of your communications and then if so, how do you keep track of it? So for example if you talk to the contractor, how are you recording that conversation or the information that was shared in that conversation for past performance issues, or things of that nature?

SUP: Typically, obviously if it is email, we have the email, we will save those. If it is a meaningful phone conversation, I have asked everybody to follow that up with an email and send it back to the person you have had the conversation with, that kind of thing. Just kind of meeting minutes, if you will, of that phone call just to serve as that written record so that we all have it. That also provides the opportunity for the COR or whoever the conversation was with—.

Q: So email is your major track of what goes on?

SUP: Yes.

Q: Now do you—I guess do you print those emails off and keep them in a folder, or do you just keep them stored on your computer and pull them off as need be?

SUP: Two ways. We keep them stored in our email, obviously, but the Army has moved to what is called paperless contracting files. So we save and upload those to the applicable contract files so it stays a permanent record and anybody can go look at it.

Q: Okay. Now how do you monitor the status of the service contract from your perspective as contractors?

PCO: It is in the monthly report.

Q: On the monthly reports that the COR is giving back to you?

PCO: Yes.

Q: Do you have like a quality assurance surveillance plan or something that they use so they know exactly what they are looking for?

PCO: CORs QASP. I believe he is using his QASP because QASP was incorporated into the contract.

Q: That is the basic things that he knows? He takes this into the facility so he knows exactly what he is looking for, exactly what he is supposed to be surveilling on the contractor and what he should be seeing when he goes in there?

PCO: Yes. Plus, I am not sure that the PRS, Performance Requirement Summary, it identifies what the contractor is required to perform. So it is a summary of the performance.

Q: Like the performance of work statement? Similar to that?

PCO: Yes. So QASP and PRS.

SUP: PRS will take specific aspects of the PWS and give them a minimum standard that they have to meet. Like so many hot meals; it has to be hot, it has to be hot 95% of the time just as a silly example. That will get incorporated into the QASP kind of. That is the type of thing the COR is going to look to make sure that the contractor is meeting and those types of things. Would it be helpful to have a copy of the QASP?

Q: Not really, I don't need a copy of it. I am just more interested that you have a QASP and that the COR has a QASP so that they COR knows what he is supposed to be surveilling when he goes in there and how he is supposed to be conducting the surveillance.

SUP: Yes, that is there.

R1:   The only other question I have is from your perspective, is there any additional information that you would like to include that would contribute to this research, specifically looking at your communication and the surveillance of the contract?

SUP: Just that our local office is a little bit behind, but the Army has also gone to kind of like the PCF (paperless contracting files) I described. A virtual COR tool. The CORs are supposed to upload all their training documents or designation documents or designation letters, all those monthly reports, that type of thing. I think when that is

fully up and running—and again, that is primarily our office—that is a fantastic tool for anybody like we were talking about the emails and the records. Anybody will be able to come back that has the right access to be able to come back and do that audit trail and look for months; hey, has the COR done their job, but more importantly, has the contractor done their job too? So it is just that way of gathering, consolidating that information and making it available to all the right people because then that will obviously—that is one of the tools that will then go into CPARS and the past performance and all that kind of stuff when this contract is up for reacquisition and do we want to use this same contractor, that kind of thing.

Q: So are you as an office using this tool now or are you in the process of transitioning to use the tool?

SUP: We are to some degree. We are not up 100% yet. But we are starting to implement it on certain customers or certain CORs are using it quite a bit more than others and our office needs to push that direction out a little more aggressively.

Q: Now from your perspective working here in the contracting office, does this tool assist you in monitoring what is going on with the contracts? For example, you said the COR can upload all sorts of documents and stuff. So from you, you can go to this tool, this site, and look at all the things that have been uploaded and use it for a trend analysis or however you monitor and manage the contract?

PCO: In theory when it is up and it is being utilized 100%, yes. It will be a fantastic tool, it will give us certain metrics and stuff, pulling from those reports and pulling from the other information the COR puts in there. We will be able to compare it with all the other contracts. We will see who is doing what and who is not. Now, at least with this case and this contract, that is not an issue. We are getting those monthly reports and me, he and the COR have a good working relationship. In other cases, it would definitely be helpful to see, because that will be required of them and it will be an easy couple of clicks away instead of trying to remember all of our contracts or go look at our spreadsheets. They are all listed in this tool and we will be able to just go right in and say, "Okay, you guys did this, and you didn't." It is easier to reach out and gather the information. So yes, it would be very helpful.

Contracting Officer's Representative
Note: Answers to the questions for the COR were provided by the COR's supervisor through email communications

Q: What is your role with regards to this service contract?

A: COR

Q: Who are your primary contacts in regards to this service contract?

A: The Contract Program Manager and Facility Managers

Q: How often do you communicate with each of these people (daily, 3-4 times a week, 1 time a week, 2-3 times a month, once a month, quarterly, when the need arises)?

A: Daily on weekdays and sometimes on weekends.

Q: What means of communication do you use with each of these people (i.e. in person, telephone, email)?

A: In person, by telephone and email.

Q: What reasons do you communicate with each of these people?

A: Contract issues, rations issues, facility inspections, quality control evaluations, equipment issues.

Q: What types of information do you share with each of these people?

A: Only information permitted by the contract.

Q: What point in the service contract's lifecycle were you appointed as the COR?

A: End of the 1st option year.

Q: What training did you receive to perform your duties as the COR?

A: Online DAU Training as well as COR Training in Ft Lee Virginia

Q: How is your performance as a COR monitored?

A: By completed QASP submissions and supervisor evaluations.

Q: How do you monitor the status of the service contract?

A: QASP evaluations.

Q: What surveillance is conducted on the contractor?

A: Admin, meal prep, meal serving, meal clean up, sanitation, hygiene.

Q: Do you have a Quality Assurance Surveillance Plan you use when monitoring the contract? If not what document do you use?

A: Yes.

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2003 - 2012 SPONSORED RESEARCH TOPICS

Acquisition Management

- Acquiring Combat Capability via Public-Private Partnerships (PPPs)
- BCA: Contractor vs. Organic Growth
- Defense Industry Consolidation
- EU-US Defense Industrial Relationships
- Knowledge Value Added (KVA) + Real Options (RO) Applied to Shipyard Planning Processes
- Managing the Services Supply Chain
- MOSA Contracting Implications
- Portfolio Optimization via KVA + RO
- Private Military Sector
- Software Requirements for OA
- Spiral Development
- Strategy for Defense Acquisition Research
- The Software, Hardware Asset Reuse Enterprise (SHARE) repository

Contract Management

- Commodity Sourcing Strategies
- Contracting Government Procurement Functions
- Contractors in 21st-century Combat Zone
- Joint Contingency Contracting
- Model for Optimizing Contingency Contracting, Planning and Execution
- Navy Contract Writing Guide
- Past Performance in Source Selection
- Strategic Contingency Contracting
- Transforming DoD Contract Closeout
- USAF Energy Savings Performance Contracts
- USAF IT Commodity Council
- USMC Contingency Contracting

Financial Management

- Acquisitions via Leasing: MPS case
- Budget Scoring
- Budgeting for Capabilities-based Planning
- Capital Budgeting for the DoD
- Energy Saving Contracts/DoD Mobile Assets
- Financing DoD Budget via PPPs
- Lessons from Private Sector Capital Budgeting for DoD Acquisition Budgeting Reform
- PPPs and Government Financing
- ROI of Information Warfare Systems
- Special Termination Liability in MDAPs
- Strategic Sourcing
- Transaction Cost Economics (TCE) to Improve Cost Estimates

Human Resources

- Indefinite Reenlistment
- Individual Augmentation
- Learning Management Systems
- Moral Conduct Waivers and First-term Attrition
- Retention
- The Navy's Selective Reenlistment Bonus (SRB) Management System
- Tuition Assistance

Logistics Management

- Analysis of LAV Depot Maintenance
- Army LOG MOD
- ASDS Product Support Analysis
- Cold-chain Logistics
- Contractors Supporting Military Operations
- Diffusion/Variability on Vendor Performance Evaluation
- Evolutionary Acquisition
- Lean Six Sigma to Reduce Costs and Improve Readiness
- Naval Aviation Maintenance and Process Improvement (2)

- Optimizing CIWS Lifecycle Support (LCS)
- Outsourcing the Pearl Harbor MK-48 Intermediate Maintenance Activity
- Pallet Management System
- PBL (4)
- Privatization-NOSL/NAWCI
- RFID (6)
- Risk Analysis for Performance-based Logistics
- R-TOC AEGIS Microwave Power Tubes
- Sense-and-Respond Logistics Network
- Strategic Sourcing

Program Management

- Building Collaborative Capacity
- Business Process Reengineering (BPR) for LCS Mission Module Acquisition
- Collaborative IT Tools Leveraging Competence
- Contractor vs. Organic Support
- Knowledge, Responsibilities and Decision Rights in MDAPs
- KVA Applied to AEGIS and SSDS
- Managing the Service Supply Chain
- Measuring Uncertainty in Earned Value
- Organizational Modeling and Simulation
- Public-Private Partnership
- Terminating Your Own Program
- Utilizing Collaborative and Three-dimensional Imaging Technology

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